

BSE Limited Listing & Compliance Department Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai - 400001	The National Stock Exchange of India Limited Listing & Compliance Department Exchange Plaza, C-1 Block G, Bandra Kurla Complex, Bandra (E), Mumbai – 400051
Security Code : 532796	Symbol: LUMAXTECH

Subject: Intimation to the Members holding shares in physical mode- Furnishing of PAN, KYC details and Nomination & availability of Dispute Resolution Mechanism at Stock Exchanges against Company/Registrar and Share Transfer Agents (RTA)

Dear Sir/Ma'am,

In terms of Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed the intimation dispatched to the shareholder holding shares of the Company in physical mode, whose addresses are registered with Lumax Auto Technologies Limited ("Company")/Bigshare Services Private Limited (RTA of the Company), via registered post on May 08, 2023 pertaining to:

1. Furnishing of PAN, Nomination, Contact Details, Bank Account Details and Specimen Signature pursuant to SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 Dated March 16, 2023; and
2. Availability of Dispute Resolution Mechanism at Stock Exchanges against Company/Registrar to an Issue and Share Transfer Agents (RTA) pursuant to SEBI Circular No. SEBI/HO/OIAE/2023/03391 dated January 27, 2023 read together with SEBI /HO/ MIRSD/MIRSD_RTAMB/P/CIR/2022/76 dated May 30, 2022.

Further, this intimation will be made available on the Company's website at: <https://www.lumaxworld.in/lumaxautotech/index.html>

You are requested to take the above information on your record.

Thanking you,

Yours faithfully,

For Lumax Auto Technologies Limited

Raajesh Kumar Gupta
Vice President & Group Head
(Secretarial, Legal & Internal Audit)
Membership No.- A8709

Encl: As stated Above

Lumax Auto Technologies Limited
Plot No. -878, Udyog Vihar
Phase-V, Gurugram-122016
Haryana, India

T +91 124 4760000
E shares@lumaxmail.com

www.lumaxworld.in

Lumax Auto Technologies Limited - REGD. OFFICE: 2nd Floor, Harbans Bhawan-II, Commercial Complex, Nangal Raya, New Delhi-110046, T - +91 11 4985 7832, E - cao@lumaxmail.com



LUMAX AUTO TECHNOLOGIES LIMITED

CIN: L31909DL1981PLC349793

Regd. Office: 2nd Floor, Harbans Bhawan-II, Commercial Complex, Nangal Raya, New Delhi- 110046

Website: www.lumaxworld.in/lumaxautotech/, Tel: 011 49857832

Email: shares@lumaxmail.com

REGISTERED POST

Date: 08-05-2023

Name of the Holder:

Ref: Folio / DP Id & Client Id:

Address:

Dear Shareholder(s),

Sub: a) MANDATORY FURNISHING/UPDATING OF PAN, KYC DETAILS AND NOMINATION DETAILS; AND

b) AVAILABILITY OF DISPUTE RESOLUTION MECHANISM AT STOCK EXCHANGES AGAINST COMPANY/REGISTRAR TO AN ISSUE AND SHARE TRANSFER AGENTS (RTA)

Ref: SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 Dated March 16, 2023 (the "SEBI Circular")

Season's greetings from **Lumax Auto Technologies Limited**. We hope this communication finds you and your family in safe and good health.

In continuation of our earlier communication dated January 4, 2022, please note that SEBI has in supersession of earlier SEBI circulars, vide the captioned circular dated March 16, 2023 mandated:

- a. furnishing of PAN, email address, mobile number, bank account details and nomination by holders of physical securities;
- b. any service request shall be entertained only upon registration of the PAN, Bank details and the nomination;
- c. to ensure that your PAN is linked to Aadhaar by June 30, 2023 or any other date as may be specified by the Central Board of Direct Taxes to avoid freezing of your folio.

We observe from the records that you have not furnished some of the mandatory documents/details against your folio. We request you to furnish the documents/details, as per the table below, to the Registrar & Transfer Agent of the Company i.e., M/s Bigshare Services Private Limited immediately on receipt of this letter.



S. No.	Purpose	Form No.
1	Request for registering PAN, KYC details or changes/ updation thereof	Form ISR-1
2.	Confirmation of Signature of securities holder by the Banker	Form ISR-2
3.	Registration of Nomination (Nomination Form)*	Form SH-13
4.	Declaration Form for Opting-out of Nomination*	Form ISR -3
5.	Cancellation or Variation of Nomination	Form SH-14

**In case you are opting out for giving nomination, submit Form ISR-3 and Form SH-13 need not be submitted.*

The aforesaid forms can be downloaded from the website of the Company and RTA at: <https://www.lumaxworld.in/lumaxautotech/> and <https://www.bigshareonline.com/>

Freezing of Folios without PAN, KYC details and Nomination:

- a. Folios wherein any one of the said document / details are not available **on or after October 01, 2023**, shall be frozen and you will not be eligible to lodge grievance or avail service request from the RTA until you have furnished the complete documents/details as mentioned above. Further, effective April 01, 2024 you will be eligible for receiving dividend in electronic mode only.
- b. **After December 31, 2025**, the frozen folios shall be referred by RTA/Company to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and or Prevention of Money Laundering Act, 2002.

You are requested to forward the duly filled in documents along with the related proofs as mentioned in the respective forms to the following address:

Bigshare Services Private Limited,
Unit: Lumax Auto Technologies Limited
Office No. S6-2, 6th Floor, Pinnacle Business Park,
Next to Ahura Centre, Mahakali Caves Road,
Andheri East, Mumbai - 400093

The scanned copies of the documents may also be mailed through your registered email id with RTA at the mail id yinod.y@bigshareonline.com duly e-Signed on the forms and all proofs.

E-Sign is an integrated service which facilitates issuing a Digital Signature Certificate and performing signing of requested data by eSign user. The holder/claimant may approach any of the empaneled eSign Service provider, details of which are available on the website of Controller of Certifying Authorities (CCA), Ministry of Communications and Information Technology (<https://cca.gov.in/>) for the purpose of obtaining an e-sign.

AVAILABILITY OF DISPUTE RESOLUTION MECHANISM

SEBI vide its circular No. SEBI /HO/ MIRSD/ MIRSD_RTAMB/P/CIR/ 2022/76 dated May 30, 2022 read with Regulation 40 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 has laid down Standard Operating Procedures (SOP) to be followed for dispute resolution under the Stock Exchange arbitration mechanism for disputes between a Listed Company and/or Registrars to an Issue and Share Transfer Agents (RTAs) and its Shareholder(s)/Investor(s)



pertaining to disputes emanating from investor service requests such as transfer/transmission of shares, demat/remat, issue of duplicate shares, transposition of holders, investor entitlements like corporate benefits, dividend, bonus shares, rights entitlements, credit of securities in public issue, interest /coupon payments on securities and delay in processing/wrongful rejection of aforesaid investor service.

Further to the aforesaid circular, SEBI vide its circular No. SEBI/ HO /OIAE/2023/03391 dated January 27, 2023 has advised every listed company to intimate to all investors/Members who hold shares in physical form that Members can file for Arbitration with stock exchange(s) if they have any dispute against the Company and/or its RTA on delay or default in processing requests as per the circular dated May 30, 2022. Accordingly, Members are requested to note the same.

For more details, Members can refer below web links of the stock exchanges:

BSE – <http://tiny.cc/m112vz>

NSE – <http://tiny.cc/s112vz>

Thanking You,
Yours faithfully,
For **LUMAX AUTO TECHNOLOGIES LIMITED**

Sd/-
RAAJESH KUMAR GUPTA
VICE PRESIDENT & GROUP HEAD
(SECRETARIAL, LEGAL & INTERNAL AUDIT)
ICSI M.NO.: A8709

Form ISR – 1

(see SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

REQUEST FOR REGISTERING PAN, KYC DETAILS OR CHANGES / UPDATION THEREOF

[For Securities (Shares / Debentures / Bonds, etc.) of listed companies held in physical form]

Date: __/__/____

A. I / We request you to Register / Change / Update the following (Tick ✓ relevant box)

<input type="checkbox"/> PAN	<input type="checkbox"/> Postal Address
<input type="checkbox"/> Bank details	<input type="checkbox"/> E-mail address
<input type="checkbox"/> Signature	<input type="checkbox"/> Mobile number
Demat Account details	

B. Security Details:

Name of the Issuer Company		Folio No.:
Name(s) of the Security holder(s) as per the Certificate(s)	1. 2. 3.	
Number & Face value of securities		
Distinctive number of securities	From	To

C. I / We are submitting documents as per Table below (tick ✓ as relevant, refer to the instructions):

	✓	Document / Information / Details	Instruction / Remark
1		PAN of (all) the (joint) holder(s)	
		PAN Whether it is Valid (linked to Aadhaar): <input type="checkbox"/> Yes <input type="checkbox"/> No	PAN shall be valid only if it is linked to Aadhaar by March 31, 2022 For Exemptions / Clarifications on PAN, please refer to Objection Memo in page 4

2	Demat Account Number	Also provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.
3	Proof of Address of the first holder	Provide any one of the documents, only if there is change in the address; <ul style="list-style-type: none"> • Client Master List (CML) of your Demat Account, provided by the Depository Participant • Valid Passport / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill. • Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old. • Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions. • For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken. • The proof of address in the name of the spouse
4	Bank details	Provide the copy of the bank statement with details of bank name, branch, account number and IFS Code or copy of cheque leaf. Alternatively, Bank details available in the CML will be updated in the folio.
5	E-mail address	_____ <p>Alternatively the e-mail address available in the CML will be updated in the folio</p>
6	Mobile	_____ <p>Alternatively the mobile number available in the CML will be updated in the folio</p>
7	Specimen Signature	<ul style="list-style-type: none"> • Provide banker's attestation of the signature of the holder(s) as per Form ISR – 2 in SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021) and • Original cancelled cheque
8	Nomination**	<ul style="list-style-type: none"> • Providing Nomination: Please submit the duly filled up Nomination Form (SH-13) or 'Declaration to Opt out of Nomination' as per Form ISR – 3, in SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 • Change in Existing Nomination: Please use Form SH-14 in SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 • Cancellation of Existing Nomination: Please use Form SH-14 and Form ISR – 3

* or any date as may be specified by the CBDT

** Nomination (**Form SH-13 or SH-14**) / 'Declaration to Opt-Out of nomination' (**Form ISR – 3**), has to furnished by the holder(s) separately for each listed company.

Mode of submission of documents to the RTA

Please use any one of the following mode;

1. In Person Verification (**IPV**): by producing the originals to the authorized person of the RTA, who will retain copy(ies) of the document(s)
2. In hard copy: by furnishing self-attested photocopy(ies) of the relevant document, with date
3. Through e-mail address already registered with the RTA, with e-sign of scanned copies of documents
4. Service portal of the RTA with e-sign with scanned copies of documents, if the RTA is providing such facility

Note

- It is mandatory for holders of physical securities in listed company to furnish PAN, full KYC details (address proof, bank details, e-mail address, mobile number) and Nomination (for all the eligible folios).
- Upon receipt or up-dation of bank details, the RTA automatically, pay electronically, all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.
- RTA shall update the folio with PAN, KYC details and Nominee, within seven working days of its receipt. However, cancellation of nomination, shall take effect from the date on which this intimation is received by the company / RTA.
- RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.

Authorization: I / We authorise you (RTA) to update the above PAN and KYC details in my / our folio (s) _____, _____, in which I / We are the holder(s) (strike off what is not applicable).

Declaration: All the above facts stated are true and correct.

	Holder 1	Holder 2	Holder 3
Signature	✓	✓	✓
Name	✓	✓	✓
Full postal address	✓		
PIN	✓		

Objection Memo that can be raised by the RTA

(only if the relevant document / details is / are not available in the folio or if there is a mismatch / discrepancy in the same or change thereof)

Note

RTAs shall raise all objections, if any / at all, in one instance only; the RTA shall not raise further objections on the same issue again and again, after the holder / claimant furnishes all the prescribed documents and details, unless there is any deficiency / discrepancy in the same.

No.	Item	Documents / Details to be provided to the RTA by the holder(s) / claimant(s)
1	PAN – Exceptions and Clarification	‘Exemptions/clarifications to PAN’, as provided in clause D to ‘Instructions/Check List for Filing KYC Forms’ in Annexure – 1 to SEBI circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011 on Uniform Know Your Client (KYC) Requirements for the Securities Market , shall also applicable for holder(s) / claimant(s) of securities held in physical mode.
2	Minor mismatch in Signature - minor	The RTA shall intimate the holder at the existing address, seeking objection, if any, within 15 days
3	Major mismatch in Signature or its non-availability with the RTA	<ul style="list-style-type: none"> • Banker’s attestation of the signature of the holder(s) as per Form ISR – 2 • Original cancelled cheque
4	Mismatch in Name	Furnish any one of the following documents, explaining the difference in names; <ul style="list-style-type: none"> • Unique Identification Number (UID) (Aadhaar) • Valid Passport • Driving license • PAN card with photograph • Identity card / document with applicant’s Photo, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions • Marriage certificate • Divorce decree
5	Present address of the holder is not matching with the address available in the folio	RTA shall issue intimation to both the old and new addresses. If the letters sent to either the old and or new addresses is / are undelivered or if there is an objection in response to this letter, then provide any one of the following; <ul style="list-style-type: none"> • any one of the documents in row 3 in Table C, reflecting the old address or • Counterfoil of dividend warrant received from the company or • Bank statement showing the credit of previous dividend received The above procedure will be applicable for request for change in address of the holder also

(This Page is only for information to investors; print out of the same is not required)

Form ISR – 2

(see circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

Confirmation of Signature of securities holder by the Banker

1. Bank Name and Branch				
2. Bank contact details Postal Address Phone number E-mail address				
3. Bank Account number				
4. Account opening date				
5. Account holder(s) name(s)	1) 2) 3)			
6. Latest photograph of the account holder(s)	<table style="margin: auto;"><tr><td style="border: 1px solid black; width: 150px; height: 100px; text-align: center; vertical-align: middle;">1st Holder</td><td style="border: 1px solid black; width: 150px; height: 100px; text-align: center; vertical-align: middle;">2nd Holder</td><td style="border: 1px solid black; width: 150px; height: 100px; text-align: center; vertical-align: middle;">3rd Holder</td></tr></table>	1 st Holder	2 nd Holder	3 rd Holder
1 st Holder	2 nd Holder	3 rd Holder		
7. Account holder(s) details as per Bank Records				
a) Address				
b) Phone number				
c) Email address				
d) Signature(s)	1) <input style="width: 150px; height: 40px;" type="text"/> 2) <input style="width: 150px; height: 40px;" type="text"/> 3) <input style="width: 150px; height: 40px;" type="text"/>			
Seal of the Bank	Signature verified as recorded with the Bank			
Place:	(Signature) Name of the Bank Manager			
Date:	Employee Code E-mail address			

Form No. SH-13

Nomination Form

[Pursuant to section 72 of the Companies Act, 2013 and rule 19(1) of the Companies (Share Capital and Debentures) Rules 2014]

To,

Name of the Company:

Address of the Company:

I/We the holder(s) of the securities particulars of which are given hereunder wish to make nomination and do hereby nominate the following persons in whom shall vest, all the rights in respect of such securities in the event of my/our death.

1. PARTICULARS OF THE SECURITIES (in respect of which nomination is being made)

Nature of securities	Folio No.	No. of securities	Certificate No.	Distinctive No.

2. PARTICULARS OF THE NOMINEE/S:

- a) Name :
- b) Date of Birth :
- c) Father's/Mother's/Spouse's name :
- d) Occupation :
- e) Nationality :
- f) Address :
- g) E-mail id :
- h) Relationship with the Security holder :

3. IN CASE NOMINEE IS A MINOR—

- a) Date of Birth :
- b) Date of attaining majority :
- c) Name of guardian :
- d) Address of guardian :

Name:

Address:

**Signature of Witness with
Name and Address**

Signature of the Security Holder (s)

Form ISR - 3

Declaration Form for Opting-out of Nomination by holders of physical securities in Listed Companies

(see SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 on
Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing
PAN, KYC details and Nomination)

[Under Section 72 r/w Section 24 (1) (a) of Companies Act, 2013 r/w Section 11(1) and 11B
of SEBI Act, 1992 and Clause C in Schedule VII and Regulation 101 of SEBI (Listing Obligations
and Disclosure Requirements) Regulations, 2015]]

Name of the Company :
Registered Address of the Company:

I / we the holder(s) of the securities particulars of which are given
hereunder, **do not wish to nominate** any person(s) in whom shall vest, all the rights in
respect of such securities in the event of my /our death.

PARTICULARS OF THE SECURITIES (in respect of which nomination is being opted out)

Nature of Securities	Folio No.	No. of Securities	Certificate No.	Distinctive No.

I/ we understand the issues involved in non-appointment of nominee(s) and further are
aware that in case of my / our death, my / our legal heir(s) / representative(s) are required
to furnish the requisite documents / details, including, Will or documents issued by the
Court like Decree or Succession Certificate or Letter of Administration / Probate of Will or
any other document as may be prescribed by the competent authority, for claiming my / our
aforesaid securities.

Name(s) and Address of Security holders(s)
Sole / First Holder Name

Signature(s)

Second Holder Name

Third Holder Name

Name and Address of Witness	Signature

Form No. SH-14

Cancellation or Variation of Nomination

**[Pursuant to sub-section (3) of section 72 of the Companies Act,
2013 and rule 19(9) of the Companies (Share Capital and
Debentures) Rules 2014]**

Name of the Company:

I/We hereby cancel the nomination(s) made by me/us in favour of..... (name and address of the nominee) in respect of the below mentioned securities.

OR

I/We hereby nominate the following person in place of..... as nominee in respect of the below mentioned securities in whom shall vest all rights in respect of such securities in the event of my/our death.

1. PARTICULARS OF THE SECURITIES (in respect of which nomination is being cancelled / varied)

Nature of securities	Folio No.	No. of securities	Certificate No.	Distinctive No.

2. (a) PARTICULARS OF THE NEW NOMINEE:

- i. Name :
- ii. Date of Birth :
- iii. Father's/Mother's/Spouse's name :
- iv. Nationality :
- v. Address :
- vi. E-mail id :
- vii. Relationship with the Security holder :

(b) IN CASE NEW NOMINEE IS A MINOR:

- i. Date of Birth :
- ii. Date of attaining majority :
- iii. Name of guardian :
- iv. Address of guardian :

Name:

Address:

**Signature of Witness with
Name and Address**

Signature of the Security Holder (s)