



Bal Pharma Limited

26.05.2023

To,

The Manager-Listing
National Stock Exchange of India Ltd
Mumbai.

BSE Limited
Mumbai.

Sub: Intimation under Regulation 30 of the Securities and Exchange Board of India
(Listing Obligations and Disclosure Requirements) Regulations, 2015 .

Ref : SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated 16th
March 2023.

With reference to the above cited subject and reference, we wish to inform the exchanges that the enclosed letter along with relevant annexures are sent to identified physical shareholders of the Company through our RTA , requesting them to update their PAN, KYC details and Nomination in the Company Records for smooth processing of the investors service requests.

The aforesaid intimation shall be placed on the Company's website at www.balpharma.com.

Please take this intimation on record.

For Bal Pharma Limited

V HIMESH

Authorised Signatory

Digitally signed by V HIMESH
DN: cn=N, postalCode=560011, st=KARNATAKA,
street=BANGALORE, SURANGALCSE, ou=Personal,
serialNumber=483070108237970b043a30986d648
48170a2c43670a1071640e011150a6,
pseudoym=93120a77798420946c2724581ac,
2.5.6.2.1=6102445492040899171480a30793202a
116798020f1ac1e4ac1c48b6,
email=VHIMESH@BALPHARMA.COM, ou=V HIMESH
Date: 2023.05.26 15:09:56 +05'30'

CORPORATE OFFICE : 5th Floor, Lakshmi Narayan Complex, 10/1, Palace Road, Bengaluru - 560 052. India

Ph. : 91 - 80 - 41379500 Fax : 91 - 80 - 22354057 / 58

Email : info@balpharma.com Website : www.balpharma.com

CIN # L85110KA1987PLC008368

REGD. OFFICE & FACTORY : 21 & 22, Bommasandra Industrial Area, Bengaluru - 560 099. Ph. :080-41570811 / 13 / 19 Fax : 41570820

Dear Investor,

Subject: Reminder to update KYC details pursuant to SEBI Circular bearing reference no SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated 16th March, 2023 in supersession of earlier circulars issued by SEBI bearing reference nos SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 & SEBI/HO/MIRSD/MIRSD_RTAMB/ P/CIR/2021/687 dated 3rd November, 2021 and 14th December, 2021 respectively.

We refer to the above circulars issued by SEBI that mandates all the listed companies to record PAN, Address with PIN code, Mobile Number, Bank Account details, Specimen Signature and Nomination of holders of physical securities. Email ID is optional, however the security holders are requested to register email id also to avail online services. This is applicable for all security holders, holding shares in physical mode.

The salient features and requirements of the circular are as follows:

- A) **Non – updation of KYC:** Folios wherein any ONE of the cited details/documents, (i.e. PAN, Address with PIN code, Mobile Number, Bank Account details, Specimen Signature and Nomination) is not available on or after October 01, 2023, shall be frozen as per SEBI circular.

Notes:

- 1) The securities in the frozen folios shall BE ELIGIBLE:

- To lodge any grievance or avail of any service from us, only after furnishing the complete documents / details as mentioned above.
- To receive any payment including dividend, interest or redemption amount (which would be only through electronic mode) only after they comply with the above stated requirements.

- 2) a) The formats for Nomination and Updation of KYC details viz: Forms ISR-1, Annexure to Form ISR-1, ISR-2, ISR-3, SH-13, SH-14 and SEBI circular are available on our website as mentioned below :

<https://www.tcplindia.co.in> → Investor Services → Downloads → Forms → Formats for KYC

In case you hold Shares in multiple Companies, serviced by TSR Consultants Private Ltd., wherein the names of the holders are in the same order, you may download the Annexure to Form ISR-1, from the above mentioned website & provide the details of all such Companies & corresponding folios & submit along with other KYC documents.

- b) For registering new bank details or where there is a change in such details, mandatory submission of **Original cancelled cheque leaf** bearing the name of the first named security holder or alternatively, submission of copy of bank passbook/ statement attested by the bank along with Form ISR-2 is required. In case of joint holding, updation of bank details will be done based on the documents provided by the first holder only.

- B) **Mandatory Linkage of PAN with Aadhaar**—It is mandatory to link PAN with Aadhaar number by June 30, 2023, as per the Central Board of Direct Taxes (CBDT). Security holders who are yet to link their PAN with Aadhaar number are requested to get the same done before June 30, 2023. Post June 30, 2023 or any other date as may be specified by the CBDT, we will accept for registration only valid PANs which have been linked to their corresponding Aadhaar numbers. The securities held in folios which have no PAN registered against the same or have invalid PAN registered on our records, as on notified cut-off date of June, 30, 2023 or any other date as may be specified by the CBDT, shall also be frozen.

Note: - Security holders from Sikkim can provide self-attested copy of Aadhaar Card/Voter's Card/Driving License/Passport
OR

any other identity proof as issued by the Govt.

In view of the above, we request you to submit at the earliest the KYC Form printed overleaf and Form ISR-1 duly signed along with the required supporting documents, as applicable.

You may use any ONE of the following modes for submission:

1. **In Person Verification (IPV):** by producing the originals to the authorised person of the RTA, who will retain copy(ies) of the document(s). Please note the registered shareholder(s) has to visit the office of the RTA for IPV and not his/her representative.
2. **In hard copy:** by furnishing self-attested photocopy(ies) of the relevant document, with date.
3. **With e-sign:**
 - (a) In case your email id is already registered with us, you may send the scanned copies of your KYC documents with additionally e-sign affixed on the documents at our dedicated email-id: kyc@tcplindia.co.in. Kindly mention the email subject line as "KYC Updation - (Company Name) - Folio No : _____"
 - (b) Investors can also upload KYC documents with additionally e-sign affixed on the documents on our website <https://www.tcplindia.co.in> → Investor Services → KYC Compliance.

E-Sign is an integrated service which facilitates issuing a Digital Signature Certificate and performing signing of requested data by e-sign user. You may approach any of the empanelled e-sign service providers available on <https://cca.gov.in/> for the purpose of obtaining e-sign.

Yours faithfully,
For TSR CONSULTANTS PRIVATE LIMITED
Investor Services Section

This is a computer generated letter and hence no signature is required. If you have already submitted the documents for updating KYC or have dematerialised your physical securities, please do not submit the documents again.

Form ISR – 1

(SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 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]

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

<input type="checkbox"/> PAN	<input type="checkbox"/> Signature	<input type="checkbox"/> Mobile Number
<input type="checkbox"/> Bank details	<input type="checkbox"/> Registered Address	<input type="checkbox"/> E-mail address

B. Security and KYC Details [to be filled in by the First Holder]:

Name of the Issuer Company	Folio No.	
Face value of Securities	Number of Securities	
Distinctive number of Securities (Optional)	From	To
E-mail Address		
Mobile Number		

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

Name(s) of the Security holder(s) in Capital as per PAN Copies of PAN Cards of all the Holder(s) duly self-attested with date to be enclosed with this Form.	PAN	PAN Linked to Aadhaar -Y/N Tick any one [✓] *
1.		Yes / No
2.		Yes / No
3.		Yes / No
4.		Yes / No

Note: * PAN shall be valid only if it is linked to Aadhaar by June 30, 2023, or any other date as may be specified by CBDT.

Check Status of PAN linked with Aadhaar at <https://www.incometax.gov.in/iec/foportal> For Exemptions/Clarifications on PAN refer Instruction.

Bank Account Details of First Holder		
Name of the Bank & Branch	IFSC	
Bank A/c No.	Tick any one [✓] Acct type <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> Any other []	

Note: Original cancelled cheque leaf bearing the name of the first holder is mandatory, failing which first security holder shall submit copy of bank passbook / statement attested by the Bank for registering the Bank Account details.

Demat Account Number	16 digit DPid /Client id []
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Also provide Client Master List (CML) of your Demat Account, duly signed by the Depository Participant with stamp.

Authorization: I / We authorise you (RTA) to update the above PAN and KYC details in my / our above Folio No, provided by me/us.

Declaration: All the above facts and documents enclosed are true and correct.

	First Named Holder	Joint Holder - 1	Joint Holder - 2	Joint Holder - 3
Signature				
Name				
Address				
PIN				

Note: If the address mentioned above differs from the address registered with the Company, you are requested to record the new address by submitting the documents as specified in point (3) overleaf. Use separate Annexure to Form ISR-1 to be downloaded from our website as mentioned overleaf in our Circular, to update the above PAN and other KYC details as provided in this form with the additional Folio(s) where you are the First Named holder of securities, in such issuer companies.

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

No.	✓	Document/Information /Details	Instruction/Remark
1	<input type="checkbox"/>	PAN of (all) the (joint) holder(s)	PAN Card copies of all the holders duly self-attested with date to be enclosed. PAN shall be valid only if it is linked to Aadhaar by June 30, 2023, or any date as may be specified by the CBDT. For Exemptions / Clarifications on PAN, please refer to Objection Memo as specified in SEBI circular.
2	<input type="checkbox"/>	Demat Account Number	Provide Client Master List (CML) of your Demat Account, duly signed by the Depository Participant with stamp.
3		Proof of Address of the first Holder	<p>Provide self attested copy with date stamp of any ONE of the documents, issued by a Govt. Authority, only if there is change in the address;</p> <ul style="list-style-type: none"> <input type="checkbox"/> Client Master List (CML) of the Demat Account of the holder/claimant, duly signed by the Depository Participant with stamp. <input type="checkbox"/> Unique Identification Number (UID) (Aadhaar) <input type="checkbox"/> Valid Passport/ Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance Bill* <input type="checkbox"/> Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill – Not more than 3 months old. <input type="checkbox"/> Identity card (with Photo) / document with address, issued by Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions duly attested by the employer with date and organization stamp. <input type="checkbox"/> 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. <input type="checkbox"/> The proof of address in the name of the spouse* <p>*Kindly provide additional self-attested copy of Identity Proof of the holder/ claimant/ spouse.</p>
4	<input type="checkbox"/>	Bank details	Original cancelled cheque leaf bearing the name of first holder OR latest copy of the bank passbook/statement with details of bank name, branch, account number and IFSC duly attested by the bank. Alternatively, Bank details as per CML enclosed will be updated in the folio.
5	<input type="checkbox"/>	E-mail address (Optional)	As mentioned on Form ISR-1, alternatively the E-mail address available in the CML as enclosed will be updated in the folio.
6	<input type="checkbox"/>	Mobile	As mentioned on Form ISR-1, alternatively the mobile number available in the CML as enclosed will be updated in the folio.
7	<input type="checkbox"/>	Specimen Signature	Provide banker's attestation of the signature of the holder(s) as per Form ISR – 2 and Original cancelled cheque leaf bearing the name of the first holder.
8		Nomination	<p>Submit these Form(s) separately for each listed company. (Use any ONE of the following options.)</p> <ul style="list-style-type: none"> <input type="checkbox"/> SH-13 For First Time Nomination <input type="checkbox"/> SH-14 For Cancellation or Variation in Nomination <input type="checkbox"/> SH-14 and ISR-3 For Cancellation of Nomination and to "Opt-Out" <input type="checkbox"/> ISR-3 To "OPT-Out" of Nomination or if No Nomination is required





Note:

- 1) In case of additional folios for securities held under the same First Named holder for Companies managed by the same RTA, details of such folios to be completed in Annexure to Form ISR-1 to be downloaded from our website as mentioned overleaf in our Circular, along with the required declaration and authorisation.
- 2) All the above blank forms along with the mode of submission are available on our website

Form ISR – 2

(SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03,2021)

Confirmation of Signature of Securities Holder by the Banker

1. Bank Name and Branch			
2. Bank contact details			
Postal Address			
Mobile/Tel number			
E-mail address			
3. Bank Account number	<i>attach original cancelled cheque leaf</i>		
4. Account opening date			
5. Account holder's PAN	Account Holder's Name		
i)	i)		
ii)	ii)		
iii)	iii)		
iv)	iv)		
6. Latest photograph of the account holder(s)			
i)- Holder Photo	ii)- Holder Photo	iii)- Holder Photo	iv)- Holder Photo
7. Account holder(s) details as per Bank Records			
a) Address			
b) Mobile/Tel number			
c) Email address			
d) Signature(s) of the Holder(s)			
i) 	<div style="border: 1px solid black; width: 150px; height: 60px; margin: 0 auto;"></div> <p><i>Bank Manager's Signature and Bank Seal</i></p>		
ii) 			
iii) 			
iv) 			
-- (To be Mandatorily Filled by the Bank Official) --			
Place:	Name of the Bank Manager :		
Date:	Employee Code :		
Mobile / Tel no:	Email_id :		

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] Date: / /

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 Tick ✓ as relevant	Folio No.	No. of Securities*	Certificate No.	Distinctive No(s) (From – To)
Equity / Debs/ Bonds				

(2) PARTICULARS OF NOMINEE/S — [Use photocopies of this blank nomination form in case of additional Multiple Nominations in the same folio]

Name of Nominee			
Address of Nominee		Date of Birth	{ - - }
Father's/Mother's/ Spouse's name		Occupation	
Relationship with the security holder		Nationality	
E-mail_id		Mobile No	

(3) IN CASE NOMINEE IS A MINOR —

Name of Guardian		Date of Birth	{ - - }
Address of Guardian		Date of attaining majority	{ - - }

Signature(s) as per Specimen recorded with the Company.

	First Holder	Joint Holder -1	Joint Holder -2	Joint Holder -3
Signature				
Name				

Witness Details:

Name of Witness		Signature	
Address of Witness	Pin: _____		
		Date	

* Nomination will be registered for entire holding in the folio. In case of more than one nominee, the ratio should be furnished & separate form to be filled for each nominee.

Form ISR - 3

Declaration Form for Opting-out of Nomination by Holders of Physical Securities in Listed Companies

(SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021)

To,

Date: / /

Name of the Company :

Address of the Company :

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

Nature of Securities Tick ✓ as relevant	Folio No.	No. of Securities *	Certificate No.	Distinctive No(s) (From – To)
Equity / Debentures				

I / We the holder(s) of the securities particulars of which are given hereinabove, **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.

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.

Signature(s) as per Specimen recorded with the Company.

	First Holder	Joint Holder -1	Joint Holder -2	Joint Holder -3
Signature				
Name				

Witness Details:

Name of Witness		Signature	
Address of Witness	_____ _____ _____ Pin: _____	Date	

* Use of ISR-3 (ie to Opt-Out of Nomination OR if "No_Nomination" is required by the investor) will be applied for the entire securities against the said Folio.