

# Purva Sharegistry (India) Pvt. Ltd.

SEBI Registered Category I Registrar to Issues  
&  
Share Transfer Agents

- IPO
- Share Transfer for Equity, Preference, Debentures
- Rights Issue
- Open Offer
- Commercial Paper
- Fixed Deposits
- Mutual Fund
- Custodians
- Alternative Investment Funds
- E-voting Platform
- Video Conferencing for AGM /EGM
- SDD & Insider Trading Software

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# Key Directors' Profile

- **Mr. Rajesh Shah**
  - Managing Director
  - M.Sc., Operations Research – IIT, Mumbai
  - > **31 years** of industry experience
  - Started software firm in 1984 developing software for > **200 clients**
- **Ms. Purva Shah Majmundar**
  - Director
  - BBA, Finance & Accounting - The University of Texas at Austin, U.S.A.
  - Prior work experience includes Investment Banking at Stifel Nicolaus Weisel, U.S.A. with wide experience in Capital Markets
  - Handling operations of the Business since 2012

# Key Points

- SEBI Registered Category I since **31 years**
- **Permanent Registration** with SEBI
- Currently providing Registrar and Share Transfer services to more than 1500 **esteemed clients** focused on building a relationship of trust
- Honour to act as Registrar to the **first IPO** on BSE-SME segment
- Consistently Ranked in **top 5** in the SME segment and **top 10** in overall IPO's
- Acted as Registrars to IPO to more than **60 companies** (handled more than **3 lakh applications in a single IPO**)
- Acted as Registrars to Open Offer for more than **125 companies**
- **We are the fourth RTA for providing e-voting platform**
- Providing services to **48 AIFs**
- State of the art technology allowing clients to seamlessly access all documents
- Handling more than **35 lakh folios** as on date
- Handling more than **3.5 lakh folios** for our client Delta Corporation Limited
- Provide video conference solutions for AGM to more than **150 clients** yearly
- Provide SDD & Insider Trading software to more than **200 clients**
- Previously empaneled as Custodians, Registrars, & Share Transfer Agents on OTC Exchange of India
- Located in the heart of the business hub of Mumbai with very close proximity to NSDL, CDSL, BSE, SEBI & NSE

# Diversified Clientele

## – IPO

- Astra Microwave Products Limited - 1993
- Aanchal Ispat Limited
- Athena Constructions Limited
- BCB Finance Limited - First SME IPO to be listed on BSE
- Baheti Recycling Industries Limited. (> 2 lakh applications)
- Bhanderi Infracon Limited
- Caprolactam Chemicals Limited - 1991
- Carewell Industries Limited
- GCM Commodities & Derivatives Limited
- GCM Securities Limited
- Ghushine Fintrade Ocean Limited - T+6 listing
- Indo Borax & Chemicals Limited - 1,62,000 applications
- Krishca Strapping Solutions Limited. (> 3 lakh applications)
- Phantom Digital Effects Limited. (> 2 lakh applications)
- Sangam Advisor Limited
- Sylph Education Solutions Limited - T+6 listing
- Timbor Home Limited - 2011
- Umiya Tubes Limited - T+6 listing
- Unishire Urban Infra Limited
- Welspun Projects Limited - 2004

## – Rights Issue

- Aridhi Hi-Tech Industries Limited
- Fortune Financial Services Limited - Rs, 200 crores
- Intellivate Capital Advisors Limited
- Multiplus Holding Limited
- NCL Research Limited (> 2 lakh folios)
- Polson Limited
- Tumus Electric Corporation Limited

## Diversified Clientele (contd.)

### – Debentures

- Aaditri Constructions Private Limited
- Associated Hospitality Private Limited
- **Beyond Real Estates Private Limited**
- Blue Blends (India) Limited
- Brahaspati Real Estates Private Limited
- Buildtough Real Estates Private Limited
- C&J Corporate Parks Private Limited
- Citrine Properties Private Limited
- **Colosseum Properties Private Limited**
- **Della Enclave Private Limited**
- Diana Buildwell Limited
- **Dosti Realty Limited**
- Dynasty Homemakers Private Limited
- Eco Hotels (India) Private Limited
- Exquisite Shelters Private Limited
- Grab A Grub Services Private Limited
- **JLS Realty Private Limited**
- **Kanakia Group**
- Mid-City Infrastructure Private Limited
- Mind Blowing Properties Private Limited
- Modulex Modular Buildings Private Limited
- Peridot Properties Private Limited
- Purohit Group
- Race Ahead Real Estates Private Limited
- **Radius Group**
- **Raghuleela Group**
- Ramjay Homes Real Estate Pvt. Ltd.
- **Supreme Group**
- **Vector Project Limited**
- **Wadhwa Group**
- **Welspun Group**

## Diversified Clientele (contd.)

- **Public Sector Units (PSU)**
  - Nepa Limited
  - Goa Shipyard Limited
  - Mineral Exploration Corporation Limited
  
- **Asset Management Companies**
  - HDFC Capital Venture Limited
  - Shriram Asset Management Company
  
- **Mutual Funds**
  - Shriram Mutual Fund RG-95
  - Shriram Mutual Fund IG-96
  - Shriram Mutual Fund IF-97
  
- **Alternative Investment Funds**
  - Areion Special Situation Fund
  - Matrix Partners India
  
- **Fixed Deposits**
  - Gitanjali Gems Limited
  
- **Commercial Papers**
  - Astra Microwave Products Limited
  - Harinagar Sugar Mills Limited
  - PMT Machine Tools Limited
  
- **Preference Shares**
  - Automark Motors Private Limited
  - Brahaspati Real Estates Private Limited
  - Buildtough Real Estate Private Limited
  - Citrine Properties Private Limited
  - Landmark Cars Private Limited
  - Mind Blowing Real Estates Private Limited
  - Sintex BAPL Limited
  - Welspun Captive Power Generation

## Diversified Clientele (contd.)

### – Group Companies

- Batliboi Group
- HDFC Property Fund Group
- ICICI Prudential Property Group
- Kamala Mills Group
- Litolier Group
- Raghuleela Group
- Siyaram Group
- Wadhwa Group
- Welspun Group

### – Open Offer > 70 Companies

- Artech Power Limited
- Blue Blends India Limited
- Blue Circle Services Limited
- Fortune Financial Services Limited
- Intellvisions Software Limited
- Lifeline Drugs & Pharma Limited
- Shriram Asset Management Company Limited

### – Dividend Paying Companies

- Astra Microwave Products Limited
- BCB Finance Limited
- Bloom Dekor Limited
- Delta Corp Limited
- Dolat Investments Limited
- Excel Castronics Limited
- Fortune Financial Services Limited
- Goldcrest Corporation Limited
- Gujarat Natural Resources Limited
- Intellvision Software Limited
- Lifeline Drugs & Pharma Limited
- Swan Energy Limited
- Welspun Projects Limited

## Diversified Clientele (contd.)

- **Qualified Institutional Placements (QIP)**
  - Astra Microwave Products Limited
  - Temptation Foods Limited
  
- **Fixed Deposits**
  - Geetanjali Gems Limited
  
- **Custodians, Registrars, & Transfer Agents on OTC Exchange of India**
  - Astra Microwave Products Limited
  - Magnum Intermediates Limited
  - Maravika Plastics Limited
  - Renewable Energy Systems Limited
  
- **Share Transfer Agents**
  - Atria Convergence Technologies Limited
  - Birla Transasia Carpets Limited
  - Dolat Investment Limited
  - Duke Offshore Limited
  - Fortune Financial Services Limited
  - Gujarat Natural Resources Limited
  - HDFC Capital Venture
  - L&T Seawoods Limited
  - Modella Woolen Limited
  - NEPC India Limited
  - NEPC Textiles Limited
  - NGL Fine-Chem Limited
  - Norris Medicines Limited
  - Panchsheel Organics Limited
  - Polson Limited
  - Raghuleela Builders Private Limited
  - Sintex BAPL Limited
  - Subhash Silk Mills Limited
  - Swan Energy Limited

# Scope of Work

## – Depository Connectivity

- Assist company in obtaining the ISIN from CDSL and/or NSDL
- Complete process of dematerialization and rematerialization of certificates
- Handle the process of Script Freezing and unfreezing as required
- Comparison reports of Beneficiary Holdings position on a weekly basis
- Obtain Beneficiary positions as on record dates for AGM/dividends
- Other special reports/ activities based on historical data and or specially sought data from the depositories.
- Coordinate on behalf of the Company with depositories, exchanges, and shareholders

## – General

- Maintain master files of all shareholders on an upto-date basis
- Maintain all statutory and other records relating to share accounting including the register of members, specimen signatures, transfer registers, duplicate registers, dividend warrant registers etc
- Facilitate filing of returns relating to shares viz. Annual Return
- Provide compliance reports relating to shares with reference to Companies Act, BSE, & SEBI
- Scrutinize and process all kinds of transactions and updates to master data
- Reconcile and effect a proper control on the total number of shares, dividend amounts issued, and reconcile dividend amount encashed
- Handle all kinds of despatches to shareholders for notices of Annual Reports, Dividends, Evoting etc
- On the whole, to handle the entire work relating to shares with utmost care keeping in mind prompt services of the highest quality to shareholder

# Standard Operating Procedure

- **Inward and Outward**
  - Issue necessary acknowledgements for documents received by us
  - Maintain an inward record of documents with all details
  - Streamlined to easily confirm receipt of documents for investor queries
  - Simultaneously maintain an outward register for all documents dispatched by us
  - Continuous reconciliation of the inward and outward register
- **Signature Verification**
  - Verify the signature on all documents received with the specimen signature available with us
  - For major difference in signature, the documents are returned back to the lodger along with a request to comply with guidelines as per the Listing Obligations & Disclosure Requirements
  - For minor difference in signature, 15 day seller notice is sent to the transferor
- **E-voting**
  - Tri-partite agreement signed with the Company, Registrar, and Depository
  - Set up record date and e-voting schedule with the Company
  - Print and dispatch all notices to shareholders 21 days prior to AGM
  - Emails are sent to shareholders who have registered their email with us
  - Coordinate with the depository for setting up the EVSN/EVEN
  - Upload shareholder data and resolutions
  - Obtain e-voting passwords for all physical and demat shareholders
  - Signature verification for all votes received in physical form
  - Assist Scrutinizer in AGM for tally of total votes
- **IEPF**
  - Reconcile last 7 years dividend with data received from the bank
  - Prepare list of shareholders who have not claimed their dividend for past 7 years
  - Transfer the unclaimed dividend and shares to IEPF Authority
  - Print new certificates for shareholders whose physical shares are to be transferred to IEPF
  - Execute corporate action with depositories for transfer of shares to IEPF

# Standard Operating Procedure

## – Share Transfer Activites

- Transfer/Transmission/Transposition of shares
- Dematerialization of shares
- Rematerialization of shares
- Split/Consolidation of shares
- Duplicate issue of share certificate
- Change of Address
- Dividend Processing
- Corporate Actions with NSDL and CDSL
- Transfer of shares to IEPF

## – Checks and Balances

- Transfer and Demat register sent to Company for approval
- Signature verification is done in 3 stages:
  - For market value of shares upto Rs. 10,000, transfer and demat operators are authorized to process the shareholder requests.
  - For market value of shares upto Rs. 3 lakhs, Compliance Officer is authorized to process the shareholder requests
  - For market value greater than Rs. 3 lakhs, only the Directors are authorized to process the shareholder requests
- Reconcile and effect a proper control on the total number of shares, dividend amounts issued, and reconcile dividend amount encashed
  - Dividend revalidation requests are forwarded to the Bank only with a request letter from the Company itself
  - Controls in check to alert if duplicate share requests are received after revalidation of dividend warrants
- Shareholder requests for account information via telephone is strictly forbidden to avoid fraudulent phone calls
- Consistently encourage clients to intimate shareholders for updation of missing specimen signatures for our records
- Random checks and phone calls to bank managers who have attested transferor's signature on transfer/demat forms
- As part of Registrars Association of India, we are in constant touch with SEBI officials and are instrumental in deciding corrective and preventative measures on practices adopted in our organization

# Our Strengths

- We are the only Registrar where the 2<sup>nd</sup> generation has joined the family business
- You will be in direct contact with the Director and Managing Director who oversee each and every operations from day to day transfer of shares to finalizing basis of allotment for IPO/Rights Issue at BSE
- Web driven password protected software with clients having virtual access to all documents
- Located in the commercial hub of Mumbai with very close proximity to your office as well as regulatory bodies including NSDL, CDSL, BSE, and SEBI
- Service will be on top priority as part of our elite clientele
- Have extensive knowledge of the industry with 31 years of experience
- State of the art technology with a family background of software professionals
  - Mr. Rajesh Shah, Managing Director has an I.I.T. background in Operations Research and has developed softwares for more than 200 companies in the past
  - Mr. Karan Shah, son of Managing Director has a Masters in Computer Science maintains our in-house software and website
  - Mr. Pranay Majmundar, husband of Director has a Masters in Computer Science and owns a software export company in Mumbai and is actively involved in furnishing to changing software requirements
  - Secured server in the United States of America
  - Data backup with 1 set at Director's home
  - Hence we are suited to constantly update our software with amendments in regulatory filings
- Directly in contact with top level executives at NSDL, CDSL, and BSE allowing completion of work on top priority
- Merchant Bankers having large market share have repeatedly worked with us showing great confidence in our work