



# **POLICY ON CONTROL AND MAINTENANCE OF STATIONERY**

<b>Type: Policy</b>	<b>Owner: Board / Stakeholder Relationship Committee</b>	<b>Custodian: Company Secretary</b>
<b>Effective Date: June 26, 2019</b>	<b>Review Schedule: Need Base</b>	<b>Latest Review: -</b>
<b>Communication Plan: Web</b>	<b>Privacy Classification: Open General</b>	<b>Doc. No. FMHL/PCMS/2019/v.1</b>

## 1. OBJECTIVE/ LEGAL FRAMEWORK

- 1.1 Clause 9 of Annexure II of Securities and Exchange Board of India (“SEBI”) Circular SEBI/HO/MIRSD/DOP1/CIR/P/2018/73 dated April 20, 2018 (“SEBI Circular”), as amended from time to time, deal with the framing of a written policy for strict control on stationery including blank certificates, dividend / interest / redemption warrants and periodically check by physical verification.
- 1.2 The Board of Directors or Stakeholder Relationship Committee of Fortis Malar Hospitals Limited (the “Company” or “FMHL”) is obliged to formulate a “Policy on Control and Maintenance of Stationery” to comply with the requirements of Clause 9 of Annexure II of SEBI Circular.

## 2. DEFINITIONS

- 2.1 “Authorised Person” shall mean Company Secretary (“CS”) or Whole Time Director (“WTD”), in the absence of CS, or any person authorised by the Board / SRC of the Company to control, maintain and physically verify the Company’s Stationery;
- 2.2 “Board” or “Board of Directors” shall mean the Board of Directors of the Company as may be re-constituted from time to time;
- 2.3 “Company’s Stationery” shall mean blank securities certificates, dividend / interest / redemption / warrants of the Company and such other stationery as may be notified by the Board / SRC;
- 2.4 “Maintenance or Maintain” means process of preserving and keeping information / documents either physically or in electronic form including but limited to safe custody as to fire, theft, torn out, worn out or any form of destruction;
- 2.5 “RTA” means Registrar & Transfer Agent appointed by the Company;
- 2.6 “Securities” shall include ‘equity shares’, ‘preference shares’, ‘convertible securities’ and debt securities;
- 2.7 “SRC” means Stakeholder Relationship Committee of the Board of the Company as may be re-constituted from time to time;

All other words and expressions used but not defined in these regulations, but defined in the SEBI Act, 1992, the Companies Act, 2013, the Securities Contracts (Regulation) Act, 1956, the Depositories Act, 1996 and/or the rules, regulations, circular, guidelines made thereunder shall have the same meaning as respectively assigned to them in such Acts or rules or regulations or any statutory modification or re-enactment thereto, as the case may be.

## 3. SAFE CUSTODY OF THE COMPANY’S STATIONERY

- 3.1 The Company’s Stationery shall be kept in the safe custody of the RTA.
- 3.2 RTA shall keep safe custody of the Company’s Stationery (unissued and/or issued and valid, as applicable). RTA shall keep safe custody of the issued dividend / interest / redemption / warrants till date of its expiry (3 months from date of issue). Once the validity is over, RTA shall, upon giving prior intimation to the Company, destroy the said dividend / interest / redemption/ warrants in the presence of their auditors under supervision of Departmental Head.

## 4. MAINTENANCE OF REGISTER

- 4.1 RTA shall maintain stock of Company’s Stationery and reconcile the same periodically but at least quarterly. RTA shall also maintain register of Stationery and reconciliation thereof with specific details of - quantitative details, location, name of the person who physically verified, date of receipt of stationery.
- 4.2 RTA shall also prepare securities certificates register with details of certificates issued/re-issued in respective folios, securities certificates printing register / records containing, inter alia, details such as Date of Printing / issue, Folio No., Name in which printed, Certificate No., Distinctive Nos., Old Certificate No. (in case of reprinting), Reason of printing etc.
- 4.3 Pursuant to Clause 15 of Annexure II of SEBI Circular, RTA shall prepare quarterly register containing details of records and documents destroyed, as per SEBI Circular and / or para 3.2 of this policy, by it. The register shall *inter alia* contain the following particulars: description of the records and documents destroyed, name of authority authorising the destruction, date of authorization of destruction, destroyed in whose presence (with signature) and date of destruction. The authenticity of the register shall be verified during internal audit as prescribed under SEBI Circular. This register shall be maintained till perpetuity.
- 4.4 RTA shall send the above register(s) / reconciliation report(s), on quarterly basis to the Company.