

Common Queries of Investors

Primary Markets

1. When the company is going to get listed on exchange?

Companies seeking public issue of their securities file their draft offer document with SEBI through their Lead Manager to the issue (LM). Such draft offer documents filed are available in SEBI and Lead Manager's website. After examination, SEBI offers its comments on the offer document to the concerned LM. Subsequently, the issuer company and the LM decide the listing dates/time scales etc. For further information you may get in touch with the LM or the issuer company.

Secondary Markets

2. Is it necessary to give Power of Attorney (PoA)?

Power of Attorney is not mandatory for opening a trading account with member of Stock Exchange. SEBI or Exchanges does not specify that PoA is essential for the investors to trade.

However, as an investor, you have the choice of whether or not to give PoA to the member. In case you decide to give PoA, you should do so only after fully understanding the risk associated therein. For this you may refer to the Do's and Don'ts specified by the exchanges on their websites

www.nseindia.com and www.bseindia.com

Further, if you are opening a 3-in-1 account (bank, demat and trading account) PoA is required for

- Auto debit from your bank account upon purchase of shares
- Auto debit from your demat account upon sale of shares

Securities Holders

3. Whether the shares of companies are listed or not?

The details of the shares of companies listed on BSE and NSE are given under:
BSE: http://www.bseindia.com/about/list_comp.asp (or)

<http://www.bseindia.com> > Corporates > Active Companies

NSE: http://www.nseindia.com/content/equities/eq_secavailable.htm (or)

<http://www.nseindia.com/> > Corporates > Securities Information

4. Please give the present address of the company?

Addresses of the registered office of companies are available in the web site of Ministry of Corporate Affairs. The web link for the same is

<http://www.mca.gov.in/DCAPortalWeb/dca/MyMCALogin.do?method=setDefaultProperty&mode=31> (or)

<http://www.mca.gov.in/> > MCA21 services > Company master Data > View Company Master Data

The addresses of companies listed on BSE and NSE are available at the web links given under:

BSE:

<http://www.bseindia.com/bseplus/StockReach/AdvanceStockReach.aspx?scripcd=500002> (or)

<http://www.bseindia.com/> > Get Quote (type the company name and select the company from list, if any) > Filing & other info

NSE: http://www.nseindia.com/content/corporate/corp_introduction.htm (or)

<http://www.nseindia.com/> > Corporates > Corporate Information > Company Address

5. What is the present status of the company?

Registered office:

<http://www.mca.gov.in/DCAPortalWeb/dca/MyMCALogin.do?method=setDefaultProperty&mode=31> (or)

<http://www.mca.gov.in/> > MCA21 services > Company master Data > View Company Master Data

The addresses of companies listed on BSE and NSE are available at the web links given under:

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<http://www.bseindia.com/> > Get Quote (type the company name and select the company from list, if any) > Filing & other info

NSE: http://www.nseindia.com/content/corporate/corp_introduction.htm (or)

<http://www.nseindia.com/> > Corporates > Corporate Information > Company Address

Vanishing Companies:

<http://www.mca.gov.in/Ministry/vanishing.html> (or)

<http://www.mca.gov.in/> > Information & Reports – Vanishing Companies

The details pertaining to liquidation / winding up of companies, the address of Official Liquidator etc. are available on the web site of Ministry of Corporate Affairs. The web link for the same is

http://www.companyliquidator.gov.in/liquidation_pocess.html (or)

<http://www.companyliquidator.gov.in/> > Liquidation Process

The addresses of the official liquidators are available at the weblink given under

<http://www.companyliquidator.gov.in/HQContact.htm> (or)

<http://www.companyliquidator.gov.in/> > About Us – Official Liquidators

Sick companies: <http://www.bifr.nic.in/asp/search.asp> (or)

<http://www.bifr.nic.in/> > Online Case Status

Directors particulars:

<http://www.mca.gov.in/DCAPortalWeb/dca/MyMCALogin.do?method=setDefaultProperty&mode=12>

<http://www.mca.gov.in/> > MCA 21 > Access Public Documents – View Public Documents

The addresses of the companies listed on BSE is available at the web links given under

BSE: http://www.directorsdatabase.com/t_list.asp

6. Please provide details of change in the name of the company?

The change in the name of the BSE and NSE are available at the web links given under

BSE: <http://www.bseindia.com/about/datal/change/changes.asp> (or)

<http://www.bseindia.com/> > Corporates – Change of Company name

NSE: http://www.nseindia.com/content/equities/eq_secavailable.htm (or)

<http://www.nseindia.com/> > Corporates > Securities Information

7. Shares of the company are not traded, please advice?

Trading of shares in the market is the outcome of many factors, including demand and supply. Equity shares, like any other asset, derive their value from the price at which others are willing to buy / sell it. In the absence of buyers / sellers, the shares become illiquid. The risk of illiquidity is inherent in investing in shares, over which SEBI does not have any control.

8. Trading in Shares of the company is suspended. Please advice?

Companies may be suspended from trading on various grounds such as;

- a) Non payment of listing fees.
- b) Non fulfillment of listing agreement. etc.

Shares of the company are listed and traded on the Stock Exchange, subject to compliance with the listing agreement. The Stock Exchange can suspend the company if it does not comply with the same.

As the company shares are suspended from trading in the Stock Exchange, it will not be possible for you to trade in these shares through the Stock Exchange.

You will be able to encash the value of your shares if you are able to find a willing buyer for your shares.

The details of the companies suspended from BSE and NSE are given under:

BSE: <http://www.bseindia.com/about/datal/suspend.asp> (or)

<http://www.bseindia.com/> > Listed Companies > Suspended Companies

NSE: http://www.nseindia.com/content/equities/eq_secavailable.htm (or)

<http://www.nseindia.com/> > Corporates > Securities Information

9. Shares of the company are delisted, please advice?

Shares of the company are delisted on either of the following ground;

- i) Compulsory Delisting.
- ii) Voluntary Delisting.
- iii) Delisted by Operation of Law.

As the shares of the company are no longer listed on the Stock Exchange, it will not be possible for you to trade in these shares through the Stock Exchange.

You will be able to encash the value of your shares if you are able to find a willing buyer for your shares.

The list of delisted companies on BSE and NSE are available at the web links given below:

BSE: <http://www.bseindia.com/about/datal/delist/a-delist.asp> (or)

<http://www.bseindia.com/> > Corporates - Listed Companies – Delisted Companies

NSE: http://www.nseindia.com/content/equities/eq_secavailable.htm (or)

<http://www.nseindia.com/> > Corporates > Securities Information

10. Why was the company delisted? When will it be relisted, if at all? (Reason for delisting)

Please refer to the web site of the stock exchanges in which the company's shares were listed. The details of the companies delisted from BSE and NSE are available at the web links given under

BSE: <http://www.bseindia.com/about/datal/delist/a-delist.asp> (or)

<http://www.bseindia.com/> > Corporates - Listed Companies – Delisted Companies

NSE: http://www.nseindia.com/content/equities/eq_secavailable.htm (or)

<http://www.nseindia.com/> > Corporates > Securities Information

11. Please give status / information on vanishing company?

The details / status of 'Vanishing' companies are available in the web site of Ministry of Corporate Affairs. The web link for the same is

<http://www.mca.gov.in/Ministry/vanishing.html> (or)

<http://www.mca.gov.in/> > Information & Reports – Vanishing Companies

12. Please give information of status of Liquidation / Winding up of the company?

The details pertaining to liquidation / winding up of companies, the address of Official Liquidator etc. are available on the web site of Ministry of Corporate Affairs. The web link for the same is

http://www.companyliquidator.gov.in/liquidation_pocess.html (or)

<http://www.companyliquidator.gov.in/> > Liquidation Process

The addresses of the official liquidators are available at the weblink given under

<http://www.companyliquidator.gov.in/HQContact.htm> (or)

<http://www.companyliquidator.gov.in/> > About Us – Official Liquidators

13. Dividend has not been declared by the company, please advice?

As per the Companies Act 1956, the decision to retain profit or to distribute it to the shareholders as dividend is the prerogative of the board of directors; the same does not fall within the regulatory preview of SEBI.

14. I have not received the dividend declared by company, please advice?

All registered shareholders on the record date of declaration of the dividend are automatically eligible for dividend.

However if the listed company does not pay dividend within 30 days after declaration, you are entitled to receive 18% p.a. simple interest for such delay. If company defaulted in any of above, you can lodge complaint with SEBI.

15. My unclaimed dividend / debenture redemption amount / interest on debentures are transferred to IEPF. How I can claim a refund?

Up to 7 years, such amounts have to be maintained in separate bank account by the company. You may like to contact the company(s) in this regard.

After 7 years, the companies are required to transfer this amount to the Investor Education and Protection Fund (IEPF) of the Ministry of Corporate Affairs (MCA). Hence, you are requested to approach MCA at the following address:

Shri B.P. Bimal
Under Secretary
Ministry of Corporate Affairs
Room No. 521, 'A' Wing, 5th Floor
Shastri Bhawan
Dr. Rajendra Prasad Road
New Delhi-110001

For further details in this regard, you may like to visit the website of MCA, whose weblink is given below

<http://www.iepf.gov.in/default.asp>

16. What are the documents I should submit for issue of duplicate share certificates?

The application for the issue of duplicate shares should be enclosed with the following documents

- a. Indemnity for issue of duplicate Share Certificate/s in the name of the person, in whose name the duplicates are being issued that he has not sold / disposed off the involved shares or acted in any manner by which any interest of third party would have been created, as per the applicable Annexure as detailed here under –

1. Indemnity by registered holder
2. General purpose indemnity
3. Indemnity by unregistered transferee/holder in due course
4. Affidavit by transferee
5. Indemnity by transferee for issue of duplicates without producing transfer deeds
6. Letter from buyer under provisions of Section 108 of Companies Act, 1956.

- b. Final Court order for issue of duplicate shares required in case of a third party stop transfer ('third party' does not include genuine bonafide transferee).

17. How I can transfer my shares?

Procedure for transfer of physical shares:

The following documents are to be sent to the Registrar and Transfer Agent (RTA) of the Company

1. Share Certificate(s),
2. Duly completed and valid stamped Share Transfer Form(s)

Listed companies are required to transfer share certificates within a period of one month from the date of lodgment for transfer of shares certificates.

Procedure for transfer of demat shares:

- You have to instruct your Depository Participant (DP) through Delivery Instruction Slip (DIS) to transfer shares from your demat a/c to the broker pool a/c, Such instruction should reach the DP's office at least 24 hours before the pay-in, failing which, DP will accept the instruction only at your (BO's) risk

For further information on demat please refer the FAQs at the web link given below:

<http://investor.sebi.gov.in/faq/dematfaq.html> or

<http://investor.sebi.gov.in/> > FAQs – Dematerialization of Securities

18. What is transmission? How I can get my shares transmitted?

“Transmission” means passing of property in shares to the legal heirs.

In the event of death of the shareholder procedure for transmission of shares is as follows;

1. If you are a nominee;

- For shares in demat mode, you have to send
 - ✓ Notarized copy of the death certificate
 - ✓ Duly filled Transmission Request Form (TRF)to the Depository Participant (DP)
- For physical shares, you may be requested to send any of the below documents;
 - ✓ Original Share certificates.
 - ✓ Duly filled Transmission Request Form (TRF).
 - ✓ An affidavit / declaration by the nominee declaring his rights.
 - ✓ Notarized copy of the death certificate.to the Registrar and Share Transfer Agent (RTA)

2. Where there is no nomination;

- Shares held in Demat mode;
Where value of the shares is upto Rs one lac, one or more of the following documents is to be furnished to the DP;
 - ✓ Notarized copy of the death certificate
 - ✓ Transmission Request Form(TRF)
 - ✓ Affidavit – to the effect of the claim of legal ownership to the shares,
 - ✓ Deed of indemnity – Indemnifying the depository and Depository Participants (DP)
 - ✓ NOC* from legal heir(s), if applicable or family settlement deed duly executed by all legal heirs of the deceased beneficial owner

Where value is more than Rs one lac, the DP may additionally insist on one or more of the following documents

- ✓ Surety form
- ✓ Succession certificate
- ✓ Probated will

✓ Letter of Administration

- Shares held in Physical mode:

The RTA may insist on any of following documents;

- ✓ Original Share certificates.
- ✓ Duly filled Transmission Request Form (TRF).
- ✓ Notarized copy of the death certificate.
- ✓ Succession certificate or
- ✓ Probate or letter of administration duly attested by Court Officer or Notary

* In case of multiple successors, NOC from non-applicants shall be recorded on the share transmission form of the applicant instead of insisting separate share transmission form from each of the successors.

Transmission of shares is required to be done within a period of one month for share held in physical form and within seven days for shares held in Demat form, from the date of lodgment of the Transmission Request Form by listed companies.

19. Please provide Registrar to issue / share transfer agent addresses?

The list of SEBI registered Registrar/Share Transfer Agent is available on the SEBI website. The web link for the same is given below:

http://www.sebi.gov.in/pmd_mb.jsp?listCode=R (or)

<http://www.sebi.gov.in/> > Intermediaries > Recognised Intermediaries

The RTI/STA addresses of the companies listed on BSE and NSE is given under:
BSE:

<http://www.bseindia.com/bseplus/StockReach/AdvanceStockReach.aspx?scripcd=500002> (or)

<http://www.bseindia.com/> >> Get Quote (type the company name and select the company from list, if any) >> Filing & other info

NSE: http://www.nseindia.com/content/corporate/corp_introduction.htm (or)

<http://www.nseindia.com/> > Corporates - Corporate Information

20. Please provide details of Price and status of trading?

The details of price and status of trading for the companies listed on the BSE and NSE are available at

NSE: <http://www.nseindia.com/>

BSE: <http://www.bseindia.com/>

21. Please provide details of corporate actions like Bonus, Rights, Dividends etc.?

The Corporate Actions of the companies listed on BSE and NSE are available at the web links given under

BSE: <http://www.bseindia.com/qresann/announce.asp> (or)

<http://www.bseindia.com/> > Corporates > Forthcoming Corporate Actions

NSE: http://www.nseindia.com/content/corporate/corp_introduction.htm (or)

<http://www.nseindia.com/>> Corporates > Corporate Action Search

22. Please provide details of Corporate Announcements like Takeovers, Mergers, Amalgamation etc.?

For details of mergers of the companies listed on BSE and NSE are available at the web links given under

BSE: <http://www.bseindia.com/about/datal/merger/a-merger.asp> (or)

<http://www.bseindia.com/> > Corporates > Corporate Announcements

NSE: http://www.nseindia.com/content/corporate/corp_introduction.htm (or)

<http://www.nseindia.com/>> Corporates > Latest Announcements

23. Please provide the information on company results and announcements, shareholding pattern, and disclosures made under SEBI Takeover and Insider trading Regulation?

Information of companies are available in the Corp Filing website whose address is as under

<http://www.corpfiling.co.in/home/homepage.aspx> (or)

<http://investor.sebi.gov.in/> > Corporate Filing

The Corporate Announcements of the companies listed on BSE and NSE is given under:

BSE: <http://www.bseindia.com/qresann/announce.asp> (or)

<http://www.bseindia.com/> > Corporates - Corporate Filings - Company Results

NSE http://www.nseindia.com/content/corporate/corp_introduction.htm (or)

<http://www.nseindia.com/> > Corporates - Corporate Information

24. I want to surrender my shares to the company and get the refund, please advice?

Equity shares, like any other asset, derive their value from the price at which others are willing to buy / sell it. You can encash the value of your shares by finding a willing buyer.

In some cases the companies or an acquirer may make an offer to buy shares from the shareholders. In such offer, you have the option to tender your shares in response.

25. I want to sell my shares, please advice

It is advisable to sell your shares in a stock exchange through a SEBI registered stock broker. Before trading you will have to open a trading account with the stock broker (member of the Stock Exchange).

The details of the brokers registered with SEBI are available on SEBI website, and the web link for the same are as under

http://www.sebi.gov.in/Index.jsp?contentDisp=Section&sec_id=6 (or)

<http://www.sebi.gov.in/> > Intermediaries > Recognised Intermediaries

The details of the members of BSE and NSE are available in the respective website, and the web links for the same are as under

BSE members;

<http://www.bseindia.com/memberdb/search/search.asp> (or)

<http://www.bseindia.com/> > Members – Members' Directory

NSE member;

<https://www.enit.co.in/MemDirWeb/searchMain.do> (or)

<http://www.nseindia.com/> > Members > Members Directory

26. Whether the shares of the company are in demat form?

The details of shares that are available in demat form are available in the website of CDSL and NSDL at the following web links:

CDSL: <http://www.cdslindia.com/publication/IsinList.jsp> (or)

<http://www.cdslindia.com/> > Publications > Securities List

NSDL: <https://nsdl.co.in/downloadables/list-codes.php> (or)

<https://nsdl.co.in/> > Advanced Search – Company Search – Securities with ISIN Codes

27. What is the procedure for opening demat account and dematerializing shares? Where can I find the list of DP/ where can I demat my share certificates

The websites of CDSL and NSDL provide the procedure for opening demat account and to dematerialize your shares, at the following web links

<http://www.cdslindia.com/downloads/Investors%20Guide.pdf> (or)

<http://www.cdslindia.com/> > Publications > Investor's Guide

<https://nsdl.co.in/faq.php> (or)

https://nsdl.co.in > FAQs > General

Further, the details of Depository Participants through whom you can demat your physical shares is available in the following web links

<http://www.cdslindia.com/publication/dplist.jsp> (or)

<http://www.cdslindia.com/> > publication > dplist

https://nsdl.co.in/direct_search.php (or)

<https://nsdl.co.in/> > Advanced Search – DP Search – Service Centers

You may also like to refer to FAQ's on demat at SEBI investor website at the following link;

<http://investor.sebi.gov.in/faq/dematfaq.html> (or)

<http://investor.sebi.gov.in/> > FAQs – Dematerialization of Securities

28. What is the ISIN number of my securities?

The details of ISIN number of securities are available in the web site of National Securities Depository Limited and Central Depository Services (India) Limited. The web link for the same is,

CDSL: <http://www.cdslindia.com/publication/IsinList.jsp> (or)

<http://www.cdslindia.com/> > Publications > Securities List

NSDL: <https://nsdl.co.in/downloadables/list-codes.php> (or)

<https://nsdl.co.in/> > Advanced Search – Company Search – Securities with ISIN Codes

Mutual Funds

29. When I will receive subscription statement from AMC?

In any Open ended scheme, the investor, whose application is accepted, shall receive subscription statement from AMC with in 5 days from the date of the closure of initial subscription/ date of receipt of the request from unit holders

Corporate Restructuring

- 3. I am a shareholder of ABC Limited. I have come to know that the ABC limited has merged with another company i.e. XYZ limited. However I have not received any intimation in this regard. I am still holding the shares of ABC limited whose name does not appear as a listed company in the stock exchange. Whom should I approach to sell my shares of ABC Limited?**

The Merger, De-merger, Amalgamation and any Scheme of arrangement of companies including listed companies, does not come under the purview of SEBI. These are a subject matter of the Companies Act, 1956, which is governed by Ministry of Corporate Affair (MCA). Therefore for any complaint regarding merger/demerger/ amalgamation or scheme of arrangement, you may approach the Registrar of the Company (ROC) where the company i.e. ABC Limited was/has been Registered. All ROCs are administered by MCA. You may also write to MCA directly.

- 4. I am a shareholder of ABC Limited. I have come to know that an acquirer i.e. XYZ limited has announced an offer to acquire shares of ABC Limited. I have not yet received any intimation in this regard. I intent to tender my shares in the offer but I do not know whether the offer is open or not? What is the status of the open offer?**

Or

Long back I saw an announcement in the newspaper that XYZ Limited would acquire the shares of ABC Limited. However I have not received any letter of offer so far. What is the status of the open offer? Where should I see the status?

Or

I am a shareholder of ABC Limited. I have been holding the shares of the company since 5 years. I have come to know that an acquirer i.e. XYZ limited has announced an offer to acquire shares of ABC Limited. The offer is pending for so long; we are suffering heavily being deprived of an exit opportunity in time. Please inform us the status?

Generally within 14 days of the publication of the public announcement, the acquirer files the draft offer document with SEBI (the Board). The Manager to the offer opens the offer only after duly incorporating comments of SEBI. The processing status of draft offer documents filed with SEBI is made available on the website of SEBI and is updated on a weekly basis (as on first working day of every week).

Once SEBI has issued observations, generally the offer shall open within 15 days of the date of SEBI's letter unless the acquirer challenges SEBI's letter before SAT/ Court i.e the matter becomes sub-judice.

General

30. Where I can find the investor educative material?

Please refer to SEBI investor website. The web link of for the same is

<http://investor.sebi.gov.in/>

31. Can I get Compensation from IPEF?

The Investor Protection and Education Fund (IPEF) Regulation 2009 do not provide for compensation for the investors.

You may like to refer for the objectives and the utilization of IPEF at the web link given below:

<http://www.sebi.gov.in/acts/Investorpro2009.pdf> (or)

<http://www.sebi.gov.in/> > Legal Framework > Regulations

32. Please advice, where should I Invest?

Please be informed that providing investment advice to investors does not fall within SEBI's regulatory purview

33. Where I can find Information on SEBI Act, Rules, Regulations, Guidelines and Circulars?

Please refer to the SEBI web site

<http://www.sebi.gov.in/>

33. How can I lodge complaint with SEBI

The investor can lodge a complaint with SEBI in any of the following modes:

- Visit <http://www.scores.gov.in/>
- Visit SEBI Office (s)
- Letter to SEBI

For assistance, call to Investor Helpline 91-22-26449188/ 26449199 / 40459188 / 40459199

34. Contact details & Jurisdiction of SEBI's Offices:

Head Office:

SEBI Bhavan

Plot No.C4-A,'G' Block,Bandra Kurla Complex,
Bandra (East), Mumbai 400051

Tel : +91-22-26449000 / 40459000

Fax : +91-22-26449016-20 / 40459016-20

E-mail : sebi@sebi.gov.in

(Maharashtra, Madhya Pradesh, Chhatisgarh, Goa, Diu, Daman and Dadra & Nagar Haveli)

Northern Regional Office

5th Floor, Bank of Baroda Building,16, Sansad Marg,
New Delhi - 110 001.

Tel. Board: +91-11-23724001-05

Fax: +91-11-23724006.

E-mail : sebinro@sebi.gov.in

(Haryana, Himachal Pradesh, Jammu and Kashmir, Punjab, Uttar Pradesh, Chandigarh, Uttarakhand and Delhi)

Southern Regional Office

D' Monte Building, 3rd Floor, 32 D' Monte Colony, TTK Road, Alwarpet, Chennai:
600018.

Tel : +91-44-24674000/24674150

Fax: +91-044-24674001

E-mail : sebisro@sebi.gov.in

(Andhra Pradesh, Karnataka, Kerala, Tamilnadu, Pondicherry and Lakshwadeep & Minicoy Islands)

Eastern Regional Office

L&T Chambers, 3rd Floor,

16 Camac Street,

Kolkata 700 017

Tel : +91-33-23023000

Fax: +91-33-22874307.

E-mail : sebiero@sebi.gov.in

(Assam, Bihar, Manipur, Meghalaya, Nagaland, Orissa, West Bengal, Arunachal Pradesh, Mizoram, Tripura, Sikkim, Jharkhand and Andaman & Nicobar Islands)

Western Regional Office

Unit No: 002, Ground Floor

SAKAR I, Near Gandhigram Railway Station

Opp. Nehru Bridge

Ashram Road

Ahmedabad - 380 009

Telephone: 079-26583633-35

Fax: 079-26583632

E-mail : sebiwro@sebi.gov.in

(Gujarat and Rajasthan)

27a. what are the charges that DP charge?

The list of the charges that can be charged by the DP are available on the websites of CDSL and NSDL. The weblink for the same is given below:

CDSL: <http://www.cdslindia.com/whatsnew/dpineasi.jsp>
<http://www.cdslindia.com/> > Quick Link - List of CDSL DPs

NSDL: <https://nsdl.co.in/about/dps.php>

<https://nsdl.co.in/> > Joining NSDL > As an Investor > Charges

