

### CHECK LIST FOR NSDL CONNECTIVITY

| SN | Documents                                                | Requirement                                                      | Points to be noted                                                                                                                                                                                                                                                                    | Remarks |
|----|----------------------------------------------------------|------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| 1. | Application for admission as Issuer of Securities        | Duly filled and certified part-I and Part-II                     | <ul style="list-style-type: none"> <li>- Separate Part-II for each type of Securities</li> <li>- On letter head of the company</li> <li>- The details of main business activity and code are available in the Instruction Kit for eForm SPICe (INC-32) on the MCA website.</li> </ul> |         |
| 2. | Board Resolution along with Specimen Signature           | Certified copy for appointment of RTA and authorized Signatories | <ul style="list-style-type: none"> <li>- Signature of authorized should be clear and visible</li> <li>- On letter head of the company</li> </ul>                                                                                                                                      |         |
| 3. | Certificate of Incorporation                             | Certified copy                                                   | <ul style="list-style-type: none"> <li>- Required all certificate which were issued due to change in name or otherwise after the incorporation of the Company.</li> </ul>                                                                                                             |         |
| 4. | MOA and AOA of the company                               | Certified copy of latest MOA & AOA (after changes, if any)       | <ul style="list-style-type: none"> <li>- All pages should be signed and sealed by the authorized person.</li> </ul>                                                                                                                                                                   |         |
| 5. | Financial Statement and Annual Report                    | Certified copy                                                   | <ul style="list-style-type: none"> <li>- Last filed Financial Statement (copy of Balance Sheet and P&amp;L)</li> <li>- Last filed annual return (MGT-7)</li> </ul>                                                                                                                    |         |
| 6. | Form SH-7 and/or PAS-3                                   | Certified copy                                                   | <ul style="list-style-type: none"> <li>- If such form were filed after last financial year for which MGT-7 has been attached.</li> </ul>                                                                                                                                              |         |
| 7. | Net worth Certificate by Practicing Chartered Accountant | Certified copy                                                   | <ul style="list-style-type: none"> <li>- Should be prepared on the basis of latest audited Financial Statement for which MGT-7 has been attached.</li> </ul>                                                                                                                          |         |
| 8. | Undertaking ( <i>only in case of private company</i> )   | Certified copy (signed by authorized signatories)                | <ul style="list-style-type: none"> <li>- Required only in case of private Company</li> <li>- On letter head of the company</li> </ul>                                                                                                                                                 |         |

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| 9.  | PAN, TAN & GST Certificate                                                                                                                                                                            | Certified copy                                                                                                                                                                         | - Clear and Visible                                                                                                                                                                                                                                                                                                                                              |   |
| 10. | Merger Order & its scheme (If any)                                                                                                                                                                    | Certified Copy                                                                                                                                                                         | - Clear and Visible                                                                                                                                                                                                                                                                                                                                              |   |
| 11. | Order of Delisting                                                                                                                                                                                    | Certified copy                                                                                                                                                                         | - Clear and Visible                                                                                                                                                                                                                                                                                                                                              |   |
| 12. | Confirmation letter from RTA                                                                                                                                                                          | Certified copy                                                                                                                                                                         | - On letter head of the RTA                                                                                                                                                                                                                                                                                                                                      |   |
| 13. | Copies of listing/trading permission/confirmation letter received from the stock exchanges with Distinctive Number Range (DNR) for listing of all its shares. <i>(only in case of listed company)</i> | Certified copy                                                                                                                                                                         | - Required from listed company                                                                                                                                                                                                                                                                                                                                   |   |
| 14. | Copy of the latest Reconciliation of Share Capital Audit Report submitted to the stock exchanges. <i>(only in case of listed company)</i>                                                             | Certified copy                                                                                                                                                                         | - Required from listed company                                                                                                                                                                                                                                                                                                                                   |   |
| 15. | Payment to NSDL for Connectivity                                                                                                                                                                      | <ul style="list-style-type: none"> <li>- Document Processing fee (non-refundable)</li> <li>- Annual Custodial fee</li> <li>- Security Deposit (Only for unlisted companies)</li> </ul> | <ul style="list-style-type: none"> <li>- GST @ 18% shall be payable only on Document processing fee and Annual Custodial fee.</li> <li>- No need to pay GST on Security Deposit Amount</li> <li>- Amount of Security Deposit shall be twice of one year custodial fee.</li> </ul>                                                                                | - |
| 16  | Tri-partite agreement                                                                                                                                                                                 | <p>All pages should be duly digital signed by authorized signatory</p> <p>(witnesses' signature (DSC) should be present on the last page)</p>                                          | <ul style="list-style-type: none"> <li>- Date and Place should be left blank, such details will be entered by NSDL.</li> <li>- Send 2 Additional copy with original agreement (all three should be originally sealed and signed)</li> <li>- SEBI Registration no. of <b>SAG RTA</b> is <b>INR000004246</b> dated <b>13<sup>th</sup> February 2019</b></li> </ul> | - |

**\*Note:** All the documents are available on "<https://rta.saginfotech.com/operations>"

