

**FREQUENTLY ASKED QUESTIONS FOR INVESTORS**

**Transfer of shares**

Sl. No.	Question	Solution
1.	<p>I have purchased the Company's shares; how do I get them registered in my name and how long will it take?</p> <p>How can I ensure that the Transfer Deed is complete before sending it to the Company?</p>	<p>You will have to send the share certificates and the Share Transfer Deed (in Form SH-1 in Annexure- A) duly filled in, executed and affixed with share transfer stamps at 0.25% of the market value on the date of execution of the transfer deed.</p> <p>Please note that copies of self - attested pan cards of all the transferors and transferees are mandatory for registration of transfers.</p> <p>The shares, along with the Share Transfer Deed and copies of self-attested pan cards will have to be sent to Integrated Registry Management Services Private Limited.</p> <p>The Share Transfer Deed should be lodged with the Registrar &amp; Transfer Agents/ Company within one month of the execution of the Share Transfer Deed.</p> <p>It takes 15 days to process the transfer subject to documents being in order and if a notice is being served to the transferor and the transferee seeking confirmation of transfer, the 15 days period will commence after the completion of the said notice period. Once the shares are registered in your name, you will receive the original share certificates duly endorsed/transferred.</p> <p>It is advisable to get your shares dematerialized through your Depository Participant.</p>
2.	<p>I would like to gift some shares to my children/relatives. How do I get them registered in their names? Does this involve stamp duty?</p>	<p>The procedure for registering gifted shares is the same as the procedure for a normal transfer. Stamp duty is also applicable on gifted shares and the duty is at 0.25% of the market value prevailing on the date of execution of the transfer deed.</p>

<p>3.</p>	<p>Where should I send the shares for transfer? Can I hand them over at your Branch Office</p>	<p>Registration of Share Transfer is carried out only at:</p> <p>Integrated Registry Management Services Private Limited  Unit : AstraZeneca Pharma India Limited  30, Ramana Residency,  4<sup>th</sup> Cross, Sampige Road,  Malleswaram,  Bangalore – 500 003  Phone : 080- 23460816  Email : <a href="mailto:giri@integratedindia.in">giri@integratedindia.in</a></p> <p>You will have to lodge the shares, either by personal delivery or through registered post/speed post/ reputed courier. Since our Branch Offices do not handle share transfer processing, kindly do not hand over your shares at Branch offices or other offices of our Company.</p> <p>Alternatively, you may lodge shares with our Secretarial Department at AstraZeneca Pharma India Limited, Block N1, 12<sup>th</sup> Floor, Manyata Embassy Business Park, Rachenahalli, Outer Ring Road, Bangalore- 560045.</p>
<p>4.</p>	<p>What is the stamp duty on shares transfer? Where do I get these stamps?</p>	<p>The stamp duty applicable on share transfer is at 0.25% of the market value on the date of execution of the transfer deed. Share Transfer Stamps can be obtained from the authorised stamp vendors. Your share broker can also help you in this regard.</p> <p>Alternatively, you can get the Transfer Deed franked with the requisite stamp fee by any bank where franking services are available or you can obtain e-stamp paper to the extent of stamp duty payable and attach it to the share transfer form.</p>
<p>5.</p>	<p>How do I ensure that the Transfer Deed is complete before sending it to the Company?</p>	<p>When the Transfer Deed with the filled in transferor’s details comes to you, please ensure that the requisite details such as folio number, certificate number, distinctive</p>

		<p>number, name of the holder(s), name and address of witnesses are filled in. Please also ensure that the Transfer Deed is signed by the transferor(s) (signatures of all holders in case of joint holding) and the witness.</p> <p>Please note that attestation of transferor’s signature by a Manager of a nationalized bank where the transferor holds a savings account will minimize the chances of rejection of transfer request on account of signature mismatch.</p> <p>Please fill in all the columns of the transfer deed, sign as transferee at appropriate places and affix share transfer stamps at 0.25% of the market value on the date of execution of the transfer deed. Please ensure that the transfer deed is duly filled in and executed as explained, to avoid any discrepancy/objection on lodgement.</p>
<p>6.</p>	<p>I want to add another person as a joint-holder to my shareholding. What is the procedure that I should follow?</p>	<p>Addition of name is deemed to be transfer of shares. In such case, the procedure laid for transfer of shares as stated above (Question 2) is required to be followed viz.: Duly executed Transfer Deed (Signatures of the Transferor and Transferee), affixation of Stamps and Original Share certificates to be sent to the Company.</p>
<p>7.</p>	<p>My shares are transferred to the Company’s Unclaimed Suspense Account. What is the procedure to claim the shares and the accrued dividend?</p>	<p>The shares lying in the AstraZeneca Pharma India Limited Unclaimed Suspense Account can be claimed by the shareholder by submitting a request letter to the Company’s Share Transfer Agents.</p> <p>Please refer Sl. No. 3 for the contact details of the Share Transfer Agents.</p> <p>The Share Transfer Agent would advise the formalities connected with claiming the shares and the accrued dividends.</p>

**ASTRAZENECA PHARMA INDIA LIMITED**



		Upon receipt of the required documents and found to be in order, shares will be directly credited to the DEMAT account of the claimant . Fresh demand draft/s will be issued by the bank.
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**Dematerialisation**

Sl. No.	Question	Solution
1.	What is Demat and what are its benefits?	<p>Dematerialisation (or Demat) signifies the conversion of physical holdings into electronic form.</p> <p>It offers scope for paperless trading through state-of-the-art technology, whereby share transactions and transfers are processed electronically without involving any share certificate or transfer deed after the share certificates have been converted from physical to electronic form.</p> <p>Dematerialisation of shares is optional and an investor can still hold shares in the physical form. However, he/she has to demat the shares if he/she wishes to sell the same through the Stock Exchanges. Similarly, if an investor purchases shares, he/she will get delivery of the shares in demat form.</p>
2.	How do I demat my shares?	<p>The shareholder has to join the depository system by opening an account with a Depository Participant (DP). After completion of all formalities, an account number will be provided to the shareholder. This number should be quoted in all correspondence with the DP and the company. The share certificates to be converted to electronic form should be submitted to the DP along with a Dematerialisation Request Form (DRF). The DP will electronically transmit DRF to the depository and electronically generate a Dematerialisation Number (DRN). The share certificates with a seal, "surrendered for dematerialisation" affixed therein, along with DRF will be submitted to the Registrar &amp; Transfer Agent by the DP. The Registrar &amp; Transfer Agent will verify the DRF and share certificates and if found in order, confirm the dematerialisation to NSDL / CDSL as the case may be, within 15 days from the date of receipt of documents. NSDL / CDSL in turn, will confirm the dematerialisation to the DP. After receipt of confirmation, the DP will credit the</p>

		shareholder's a/c with the number of shares dematerialised. The shares will thereafter be held in electronic form.
3.	Once my shares are dematted, can I ever get them converted into physical shares?	Members who wish to convert their holding from demat form to physical form can do so by submitting a Rematerialisation Request Form (RRF) through the DP with whom they have the demat account. Upon receipt of such request from the DP, the Registrar, after process, will issue share certificate(s) for the number of share(s) so rematerialized.
4.	What are the charges to be paid to demat one's physical shares? Will it be paid by the Company or do I have to pay for it?	The charges for demat have to be borne by the shareholder. The charges differ from DP to DP and therefore you will have to contact your DP for details regarding the same.
5.	How do I get my dividends on dematted shares? Will I get the Annual Report after I demat my shares? Will I be able to attend the AGM?	<p>On the Record date, the Depository Participants will provide a list of demat account holders indicating the number of shares held in electronic form (known as Benpos – Beneficiary Position). On the basis of Benpos, the Company will make dividend payments in favour of the demat account holders.</p> <p>The rights of the shareholders holding shares in demat form are at par with holders of shares in physical form. Hence, you will be receiving the annual reports through email if your Demat details contain the email id or the physical copy will be sent in case the email ids are not available</p> <p>It is advisable to register your NECS mandate with your Depository Participant to enable us to credit all your dividends electronically.</p>
6.	Can I pledge my shares in demat form to avail any funding/loan arrangement with my bankers?	Yes. But the same is not in the scope of the Company or the Registrar & Transfer Agents.

7.	Why can't the Company take request for change of details recorded in the demat account?	As per the Depository Regulations, the Company is obliged to take on record the details of demat shareholders furnished by the concerned Depository Participant. The Company does not have any right to make any change in such records received from the Depository.
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**Nomination of shares**

Sl. No	Question	Solution
1.	How do I make a nomination with regard to my shareholding?	Request for nomination on shares along with the Nomination Form (in Form SH-13- Annexure- B) to be sent to the Registrars & Share Transfer Agent by shareholders holding shares in physical form.  Shareholder holding shares in dematerialized form should approach their Depository Participant concerned regarding nomination
2.	Do I have to send my share certificates along with the nomination form?	It is not necessary to send your share certificate at the time of registration of nomination.
3.	My shares are held in joint names. Are the joint holders nominees to the shares?	Joint holders are not nominees. They are joint holders of the relevant shares only. In the event of death of any one of the joint holders, the surviving joint holder/s of the shares is/are the only person/persons who shall be recognized by the Company as the holders of the shares.
4.	Can a nomination once made be changed?	A nomination once made can be revoked by submitting a fresh nomination. If the nomination is made by joint holders, and one of the joint-holders dies, the surviving joint holder/s can make a fresh nomination by revoking the existing nomination.
5.	What is the legal position of the nominee in case of death of the shareholders?	In case of shares held by sole holder, upon the death of the shareholder, the nominee, to the exclusion of any other legal heir/beneficiary, is the only person in whom the shares vest. In other words, in case of a valid nomination, the Company will not entertain any claim from legal heirs or beneficiaries and the shares will be transmitted only in favour of the Nominee.

		In case the nomination is made by joint-holders, it will come into play only upon the death of all the joint holders. Therefore, if one of the joint shareholders dies, the shares will devolve on the surviving shareholders to the exclusion of the nominee. In this case, the surviving shareholders may make a fresh nomination if they so desire.
6.	What is the procedure for the nominee to get the shares in his name?	<p>Upon the demise of a shareholder, the nominee is entitled to have the shares transmitted in his favour. He/she is required to submit a notice in writing to this effect along with the original share certificate and an attested copy/notarised copy of the death certificate of the deceased shareholders.</p> <p>If a nominee opts for registration of shares in his/her name, he/she has to submit a request letter along with a copy of the pan card and proof of address, e.g. copy of passport, driving license, voter’s identity card or such other proof, to the satisfaction of the Company.</p> <p>Upon scrutiny of the documents submitted by the nominee, shares will be transmitted in his/her favour and share certificates will be returned to him/her duly endorsed.</p>
7.	I have shares in demat form. Can I send the nomination form to the Company for making a nomination with respect to my shareholding?	For making a nomination with respect to shares in dematerialized form, you will have to approach your Depository Participant.

**Transmission of shares**

Sl. No.	Question	Solution
1.	In case of joint holdings, in the event of death of one shareholder, how do the surviving shareholders get the shares in their names?	The surviving shareholder/s are required to submit a request letter supported by a self-attested copy of PAN card of all surviving holders, an attested copy of the Death Certificate of the deceased shareholder and the relevant share certificates together with the request for transmission. The Company, on receipt of the said documents, will delete the name of deceased shareholder from its records and return the share certificates to the applicant/registered holder with the necessary endorsement.
2.	If a shareholder who held shares in his sole name dies without leaving a will, how can his legal heir/s (either husband/wife/son/daughter, etc.) get the shares transmitted in their names?	The legal heirs are required to obtain a Succession Certificate or Letter of Administration/ probate of a will with respect to the shares. A true copy of the same, duly attested by the Court Officer or Notary, should be sent to the Company or Registrar and share transfer agents along with a request letter, pan card of all the claimants and all original share certificates for transmission in their favour.
3.	I have already produced the attested/registered Will. Since getting it probated would take a long time and money, is it possible to avoid that procedure?	In order to ascertain that the Will in question is the last Will and testament made by the deceased, it is important that the same is authenticated/probated by the Court. This is to protect the interest of the investors at large and to obviate any future claims/disputes on the same.
4.	The name of a joint holder was included only for convenience by the first holder. I am the only heir. Could you transfer the shares in my name as per the will/probate?	As per law, the joint holder is deemed to be having indivisible ownership of the joint property and the Company cannot ascertain as to how or why the name was included. As per the Articles of Association of the Company, the surviving joint holders are the only persons recognised as having title to the shares.

\* Additional/notarised documents might be sought by the Company/ RTA on a case to case basis

**Loss of Share Certificate**

Sl.no	Question	Solution
1.	I have lost/misplaced my share certificates, what are the steps that I should take to obtain duplicate share certificates?	<p>Immediately on being aware of the loss/misplacement of your share certificate(s), kindly follow the procedure mentioned below:</p> <ul style="list-style-type: none"> <li>- Lodge a First Information Report (FIR) with the jurisdictional police station;</li> <li>- Submit your application in writing to the Company/ Registrar and Transfer Agents, duly signed by all the shareholders, quoting your folio number, details of share certificate(s) lost, along with original/certified copy of the FIR.</li> <li>- Company/ Registrar and Transfer Agents on verification, will mark 'Stop Transfer' against the share certificate(s) reported as lost/misplaced by you for a period of 15 days and will provide you the detailed procedure for issue of duplicate share certificate(s) including the draft of the affidavit and indemnity to be executed by you, the amount of Demand draft to be executed by you for publishing a public notice in the newspaper and the identification and address proofs to be provided by you.</li> <li>- The Company will then arrange to publish a public notice in newspaper giving the details of the share certificate(s) reported as lost / misplaced by shareholder(s), seeking objections if any, to the issuance of duplicate share certificate(s).</li> <li>- In case no objection is received within 15 days from the date of the said notice, the Company will proceed to issue you the duplicate share certificate(s).</li> </ul> <p>* Additional/notarised documents might be sought by the Company/ RTA on a case to case basis</p>

2.	What action should I take if I retrieve the original share certificate, which I had reported to the Company to be lost?	Please surrender the original share certificate to the Company or the Registrar and Transfer Agents immediately if duplicate share certificates have been issued. However, if the original share certificates are found before you comply with the procedure for obtaining duplicate share certificates, please inform the Company or the Registrar and Transfer Agents immediately so that we can remove the caution from your folio immediately.
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**Miscellaneous**

Sl.no	Question	Solution
1.	I wish to split/consolidate my share certificates into marketable lots. What is the procedure that I should follow?	Please forward your share certificates along with a request letter signed by all the registered shareholder/s and we shall split/consolidate the share certificates accordingly.
2.	I hold more than one folio in the same name. Can I consolidate these folios?	<p>Yes. Please forward the share certificate relating to those folios which you wish to merge along with a request letter duly signed by all the registered holders and we shall consolidate your folios and return the share certificates by endorsing the consolidated folio number.</p> <p>You may please note that the folios to be consolidated should be in the identical name and/or in the same order of identical names (in case of joint-holding) and bear the same address.</p>
3.	I want to authorise another person to deal with my shares. Do I have to report this to the Company?	Yes. You will have to execute a Power of Attorney in favour of the concerned person and submit a notarised copy of the Registered Power of Attorney to the Registrar and Transfer agents or the Company for registration. After scrutiny of the documents, we shall register the Power of Attorney and provide you with the registration number of the same.
4.	We hold shares in joint names and would like to change the order of names.	Please submit your application to the Company or Registrar and Transfer Agents, duly signed by all the shareholders requesting for inter-change of names, enclosing therein all the share certificate(s) held under a particular folio. Your application should clearly state the order in which the name(s) should appear in the folio.

5.	Why do I register my Permanent Account Number (PAN)?	The securities and exchange board of India (SEBI) vide circular ref no. MRD/DoP/CIR-05/2007 dated April 27, 2007, made PAN the sole identification number for all participants transacting in the securities market, irrespective of the amount of transaction. In continuation of the aforesaid circular, it is hereby clarified that for securities market transactions and off market/private transactions involving transfer of shares of listed companies in physical form, it shall be mandatory for the transferee(s) to furnish copy of PAN card to the company /Registrar and Share Transfer Agent for registration of such transfer of shares.
6.	If there is a change in my address, what is the procedure to get it recorded with the Company?	Request for change of address / bank details should only be in writing, duly signed by the Shareholder (first named shareholder in case of joint-holders), a copy of the old address proof along with any one of the following documents as proof of change of address - bank details/ Ration card/ Passport/ Driving license/ Voter ID. Requests for change of address / bank details sent through e-mail will not be entertained.
7.	Can there be multiple addresses for a single folio?	No. There can be only one registered address for one folio.
8.	If the shares are dematted, what is the procedure for change of address?	Since your Depository Participant maintains the records of your dematted shares, you have to approach your DP to effect any change in your address.
9.	Can I claim old dividends relating to past years that I have not received?	<p>The dividend in respect of the last seven financial years, can be claimed. The details of the unclaimed dividend can be viewed at <a href="http://www.astrazeneca.com/india">www.astrazeneca.com/india</a>.</p> <p>The dividends remaining unclaimed for seven years are transferred to the Investor Education and Protection fund (IEPF). Any such dividend will have to be directly claimed by from the IEPF Authorities. The shareholders may approach the Company's Share Transfer Agents and submit the prescribed form for claiming the unpaid dividend.</p>

<p>10.</p>	<p>I have lost my dividend warrant/Demand Draft. How can I obtain a duplicate dividend warrant/demand draft ?</p>	<p>Please approach the Company’s Share Transfer Agents to obtain a fresh demand draft in lieu of the original dividend warrant/demand draft lost. The Share Transfer Agents would send you a letter of undertaking to be duly filled and signed and submitted to them.</p> <p>To avoid this problem in the future, you can use the ECS facility in which the dividend amount is automatically credited to the bank account of your choice. To avail of this facility, give your request to M/S Integrated Registry Management Services Private Limited in writing.</p>
<p>11.</p>	<p>How to replace a share certificate which is torn/damages?</p>	<p>The Member should submit to the Company/ Registrar, a request letter along with the torn/damaged share certificate. Upon receipt of the same, the Company will issue a new share certificate.</p>
<p>12.</p>	<p>What is the procedure for deletion of name on death of joint shareholder?</p>	<p>Deletion of name can be made only in the event of death of one of the joint shareholders, where shares are held jointly by 2 or more shareholders.</p> <p>For seeking deletion of name for shares held in physical form, the surviving shareholder/s will have to submit a suitable request letter to the Registrar and Transfer Agent, under the signatures of all the surviving shareholders quoting their Folio number and supported by an attested copy of the Death Certificate of the deceased shareholder and the relevant share certificates.</p> <p>The Company on receipt of the valid documents will delete the name of deceased shareholder from its records and return the share certificates to the applicant/registered holders with necessary endorsement.</p>