

# **Sikka Ports & Terminals Limited**

## **POLICY FOR ENABLING DEBENTURE HOLDERS TO CLAIM UNCLAIMED INTEREST AND / OR REDEMPTION AMOUNT**

# Sikka Ports & Terminals Limited

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## Policy for Enabling Debenture Holders to Claim Unclaimed Interest and / or Redemption Amount

### 1. Introduction

- 1.1 In case interest / redemption amount of debentures remains unclaimed for a period of thirty days from the due date of interest/redemption of debentures, it is necessary for the listed entity to transfer the said amount of interest / redemption to an escrow account. Amounts transferred to the escrow account that has remained unclaimed for a period of seven years shall be transferred to the 'Investor Education and Protection Fund' ('IEPF') constituted in terms of Section 125 of Companies Act, 2013. This is as per Regulation 61A of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.
- 1.2 SEBI Circular No. SEBI/HO/DDHS/DDHS-RAC-1/P/CIR/2023/176 dated November 8, 2023 requires a listed entity to frame a policy specifying the process to be followed by investors for claiming Unclaimed Amount (as defined hereunder).
- 1.3 This Policy has been formulated in compliance with SEBI Circular No. SEBI/HO/DDHS/DDHS-RAC-1/P/CIR/2023/176 dated November 8, 2023. As on date, Sikka Ports & Terminals Limited (“SPTL” or the “Company”) does not have any Unclaimed Amount. The process to be followed by the debenture holder for claiming Unclaimed Amount is set out below.

### 2. Scope

This Policy is applicable to all the debenture holders of Sikka Ports & Terminals Limited.

### 3. Terms and Definitions

- 3.1 “**Unclaimed Amount**” means the interest and/or redemption amount of debentures issued by the Company, which has not been claimed by the debenture holder within thirty days from the due date of interest / redemption payment.
- 3.2 “**RTA**” means Registrar and Transfer Agent of the Company. KFin Technologies Limited is presently the Registrar and Transfer Agent of the Company.

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## 4. Policy

- 4.1 Any debenture holder claiming to be entitled to any Unclaimed Amount is required to check if his / her / its **bank account/KYC/PAN/address** have been updated in his / her / its demat account maintained with the depository participant.
- 4.2 Thereafter, the debenture holder is required to make a duly signed application for claim in the format specified at Annexure I of this Policy.
- 4.3 The application for claim shall be submitted to the Company through its RTA:
- a. By e-mail at [Bala.krishnanV@kfintech.com](mailto:Bala.krishnanV@kfintech.com)
  - b. By courier/post at below address:

**KFin Technologies Limited**

Unit: Sikka Ports & Terminals Limited

Selenium, Tower B,

Plot No – 31 & 32, Financial District,

Nanakramguda, Serilingampally, Hyderabad,

Rangareddi, Telangana, India, 500 032

- 4.4 In case such application is found to be defective or incomplete, the Company / RTA shall communicate to the debenture holder, by letter / e-mail, for furnishing additional information to rectify such defects or incompleteness and to resubmit the application. The debenture holder is required to respond at the earliest and in any event, no later than thirty days from the date of receipt of such letter / e-mail, failing which the claim may be rejected. Please note that in case the claim is rejected, the debenture holder can file a fresh claim.
- 4.5 A claim is liable to be rejected if the details furnished in the application for claim does not match with the details received as per the Beneficiary Position received by the Company from the Depositories (i.e. National Securities Depository Limited / Central Depository Services (India) Limited).
- 4.6 **Processing of claims received within a period of seven years of transfer of Unclaimed Amount to escrow account:** The Company shall remit the Unclaimed Amount to the debenture holder using electronic modes of funds transfer, within thirty days of receipt of duly signed application, complete in all respects.

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**Processing of claims received after transfer of Unclaimed Amount to IEPF:** In case the Unclaimed Amount has remained unclaimed for a period of seven years then the same shall be transferred by the Company to the IEPF. In order to claim amounts transferred to IEPF, the debenture holder is required to submit an application to the IEPF Authority in Web-Form IEPF-5 available on IEPF website <https://www.iepf.gov.in/content/iepf/global/master/Home/Home.html>. Details of list of documents for IEPF-5 and FAQs on submission on IEPF claim process is available on the IEPF website.

- 4.7 In case the application for claim is submitted by legal heir(s)/successor(s)/nominee(s) of a debenture holder, the application for claim shall be processed only after transmission of debentures is completed and additional documents as specified in Annexure I are submitted to the Company/RTA. The legal heir(s)/successor(s) / nominee(s) making a claim are also required to comply with the instructions given above.
- 4.8 Debenture holders are requested to note the following contact details for addressing queries or grievances, if any, relating to claim:

Ms. Forum Sheth Nodal Officer E-mail: <a href="mailto:debenture.investors@sptl.co.in">debenture.investors@sptl.co.in</a> Tel No.: 022 3555 7100
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- 4.9 The Key Managerial Personnel of the Company are severally authorized to make factual changes to this Policy from time to time.

*This Policy is approved by the Stakeholders Relationship Committee of the Board of Directors of the Company at its meeting held on February 5, 2024 and shall be effective from March 1, 2024.*

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## Annexure I

(Format of application for claim)

To,

**KFin Technologies Limited**

Unit: Sikka Ports & Terminals Limited

Selenium, Tower B,

Plot No – 31 & 32, Financial District,

Nanakramguda, Serilingampally, Hyderabad,

Rangareddi, Telangana, India, 500 032

**Sub: Unclaimed interest and / or redemption proceeds of debentures (ISIN: \_\_\_\_\_)**

I/We, \_\_\_\_\_ [Name of debenture holder], residing at \_\_\_\_\_ [address], wish to claim the unclaimed [interest and / or redemption] amount of the following debentures:

Or

In case claim is filed by legal heir(s) /successor(s) / nominee(s) of the debenture holder:

I/We, \_\_\_\_\_ [name of the legal heir(s)/successor(s) / nominee(s)\*], acting in the capacity of \_\_\_\_\_ [Nominee/ Legal Heir/ Successor to the Estate of the Deceased/ Administrator of the Estate of the Deceased\*] of \_\_\_\_\_ [Name of the deceased debenture holder], residing at \_\_\_\_\_ [address], wish to claim the unclaimed [interest and redemption] amount of the following debentures:

*\*strike whichever is not applicable*

ISIN	
Series	
DP ID and Client ID	
Name of the first debenture holder	
Name of the second debenture holder	
No. of debentures held	
Unclaimed interest amount (in Rs.)	
Unclaimed redemption amount (in Rs.)	
Bank Account details (in which the Unclaimed Amount is to be transferred)	Bank Name: Branch Name: Bank Account number: Beneficiary Name: IFSC Code:
E-mail ID, if any	

**Note: The bank account details and other details given above should match with the client master list.**

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I/We request you to process the claim and transfer the unclaimed interest and / or redemption amount (*strike whichever is not applicable*) in the abovementioned bank account.

Regards

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## **Additional Documents:**

- i. Updated Client Master List of the demat account of the debenture holder, updated bank details, duly attested by the claimant and depository participant;
- ii. Self-attested copy of:
  - a) PAN Card/passport/OCI card issued by Ministry of Home affairs/Person of Indian Origin Card duly apostilled as per Hague Convention; and
  - b) Aadhar Card (only in case of individuals)
- iii. Original cancelled cheque leaf containing name of the debenture holder or Passbook duly attested by the Bank;
- iv a) Certified copy of death certificate; and b) Will/Probate/Succession Certificate/Letter of Administration/ Legal Heirship Certificate (or its equivalent certificate)/ Court Decree, as applicable, shall also be submitted in case the application is made by Nominee/ Legal Heir/ Successor to the Estate of the Deceased/ Administrator of the Estate of the Deceased.