

AASWA TRADING AND EXPORTS LIMITED

IMPORTANT NOTES FOR ATTENTION OF SHAREHOLDERS

TRANSFER OF SHARES ONLY IN DEMATERIALIZED FORM WITH EFFECT FROM DECEMBER 5, 2018, NOW PERIOD EXTENDED TO APRIL 1, 2019

- ❖ In terms of Amendment to Regulation 40 of SEBI (Listing Obligations and Disclosure Requirements), 2015 carried out through a notification dated June 8, 2018, Companies and their RTAs were directed not to process share transfer of any securities in physical mode w.e.f. December 5, 2018. However, Transmission or Transposition of Securities were not be affected by the said amendment and can continue in physical mode. Thus, effective from December 5, 2018, the shares of the Company were to be transferred only in dematerialised form as per the said SEBI notification. BSE Limited ('BSE') had issued Circular dated on July 5, 2018 to this effect, directing the listed companies to prominently place the said information on their website intimating the shareholders about the proposed change and provide appropriate guidance on how to dematerialize their shares.
- ❖ Further, SEBI vide notification No. SEBI/LAD-NRO/GN/2018/49 dated November 30, 2018 **extended the due date for transfer of shares in physical form from December 5, 2018 to April 1, 2019.** BSE has also issued Circular dated on December 3, 2018 to this effect.
- ❖ Accordingly, Shareholders are advised to get their shares dematerialized **prior to April 1, 2019** with a view to facilitate hassle-free transfer of shares in future as advised by the Stock Exchanges.
- ❖ **The process to get the shares in "Dematerialized Form" is briefly stated hereunder:**
 1. The Shareholders will have to open an account with Depository Participants (DP) and get a unique Client ID number. Thereafter, he/she will have to fill up a Dematerialization Request Form (DRF) provided by the DP and surrender the physical shares, which is to be dematerialized to the DP.
 2. The DP upon receipt of the shares and the DRF will send an electronic request to the Company's RTA for confirmation of demat. Each request will bear a Unique Transaction Number.
 3. The DP will simultaneously surrender the DRF and the shares to the Company's RTA with a covering letter requesting the RTA of the Company to confirm demat. The Company's RTA after necessary verification of the documents received from the DP will confirm demat to the Depository. This confirmation will be passed on to the DP, which holds the Investors' account.
 4. After receiving this confirmation from the Depository, the DP will credit the account with the shares so dematerialized. Thereafter, the DP will hold the shares in the dematerialized form on the Investors' behalf and the Investor becomes the beneficial owner of these dematerialized shares.
