



*Hindustan Unilever Limited*

## **MANUAL FOR SHAREHOLDERS**

## ABOUT THE MANUAL

Dear Shareholders,

Hindustan Unilever Limited (HUL) is a Company that takes pride in its legacy of good governance that was established by its visionary founders many years ago and integrated into its daily business.

We believe that to achieve our goals, we need to act with the highest standards of corporate behaviour towards everyone we collaborate with, the communities we impact and the environment we shape. This is how we deliver consistent, competitive performance and drive long term value creation for our Shareholders as well, who are the owners of the Company.

This Manual which is specially curated for HUL Shareholders is a reflection of our ongoing commitment to ensure Shareholders' delight. Our aim is to provide a comprehensive resource that compiles all necessary information for Shareholders thereby increasing transparency and awareness among our Shareholders.

We believe that informed Shareholders are essential to the Company's success. We encourage you to refer this manual for all necessary information. Please feel free to reach out to the Company for any queries.



## CONTENTS

Sr. No.	Particulars	Page No.
1.	Company Details	1
2.	Details of Mergers and Demergers	4
3.	Information for Shareholders on the Company's website	6
4.	Shareholder Rights	8
5.	Do's and Don'ts for Shareholders	9
6.	Dividends related information	11
7.	Investor Education Protection Fund (IEPF) related details	14
8.	Investor Service Request (ISR) details	20
9.	Suspense Escrow Demat Account (SEDA) details	38
10.	Chatbot RASHI – One stop solution for Investor Service queries and requests	39
11.	Frequently Asked Questions (FAQs)	39
12.	Investor Grievance Redressal Mechanism - Escalation Matrix	40

## COMPANY DETAILS

### **Incorporation:**

Hindustan Unilever Limited was originally incorporated on 17th October, 1933, as 'Lever Brothers India Limited'.

### **Corporate Identification Number (CIN):**

L15140MH1933PLC002030

### **Name Change Details:**

1. In 1931, Unilever had set up its first Indian subsidiary, Hindustan Vanaspati Manufacturing Company, followed by Lever Brothers India Limited in 1933 and United Traders Limited in 1935.
2. **LEVER BROTHERS (INDIA) LIMITED** was incorporated on 17th October, 1933 under the Indian Companies Act, 1913.
3. Pursuant to Section 24(1) of the Companies Act, 1956, the word 'Private' was inserted and the Company was thereafter known as **LEVER BROTHERS (INDIA) PRIVATE LIMITED**.
4. On **1st November, 1956** the name was changed from LEVER BROTHERS (INDIA) PRIVATE LIMITED to **HINDUSTAN LEVER LIMITED**.
5. Later, the name was formally changed to **HINDUSTAN UNILEVER LIMITED** (the Company) after receiving approval from Shareholders at the 74th Annual General Meeting (AGM) which was held on 18th May, 2007.

### **Registered Office Address and Contact Information:**

#### **Address:**

Hindustan Unilever Limited  
Unilever House, B. D. Sawant Marg,  
Chakala, Andheri (E), Mumbai - 400 099.

**Tel No:** 022 5043 3000

**Email ID:** [comsec.hul@unilever.com](mailto:comsec.hul@unilever.com)

**Website:** [www.hul.co.in](http://www.hul.co.in)

### **Stock Exchanges where the securities of the Company are listed:**

The Company's securities are listed and traded on the following exchanges:

<b>Name of the Stock Exchange</b>	<b>Scrip Code</b>
Bombay Stock Exchange (BSE)	500696
National Stock Exchange of India Limited (NSE)	HINDUNILVR

### **International Securities Identification Number (ISIN):**

ISIN is a unique 12-digit number that is recognized by the International Standards Organization. ISIN for the Company on NSE and BSE is **INE030A01027**.

### **Details of the Company's Registrar and Share Transfer Agent (RTA):**

**M/s. KFin Technologies Limited** is the Company's Registrar and Share Transfer Agent (RTA) for handling all matters relating to its shares (both in physical as well as demat mode).

#### Contact Details of the Company's RTA:

**Address:**

Unit - Hindustan Unilever Limited  
Selenium Tower B, Plot No 31 & 32,  
Gachibowli Financial District, Nanakramguda,  
Hyderabad – 500 032

**Contact Person:** Ms. Krishna Priya Maddula

**Toll Free no:** 1800 309 4001

**WhatsApp no:** +91 91000 94099

**Email ID:** [einward.ris@kfintech.com](mailto:einward.ris@kfintech.com)

**Website:** [www.kfintech.com](http://www.kfintech.com) / <https://ris.kfintech.com>

**KPRISM Website:** <https://kprism.kfintech.com/>

**KPRISM Mobile App:** [KPRISM](#) (for iOS)

**Investor Support Centre (DIY link):** <https://ris.kfintech.com/clientservices/isc>

### **Folio Number of the Company:**

Folio Number is a unique identifier used to keep track of investments.

The Company's folio number has a prefix HLL followed by 7 digits. For example: HLL1234567.

**Depository Details:**

There are currently two depositories in operation where the securities of Companies are admitted:

- National Securities Depository Limited (NSDL)
- Central Depository Services Limited (CDSL).

## DETAILS OF MERGERS AND DEMERGERS

Information regarding mergers and demergers related to the Company is available on the [Company's website](#). The same is also being reproduced below for your ready reference:

Name of the Company	Merger / Demerger	Appointed Date	Effective date	Date of Allotment	Share Ratio	Value of fraction (Rs.)
Kothari General Foods Corporation Limited	Brooke Bond India Limited	1-Jan-92	1-Jan-92	30-Jun-92	21:1	7.00
Tea Estates India Limited	Brooke Bond India Limited	1-Jan-93	1-Jun-93	24-Aug-93	10:12	35.25
Doom Dooma India Limited	Brooke Bond India Limited	1-Jan-93	1-Jun-93	24-Aug-93	10:11	35.25
Kissan Products Limited	Brooke Bond India Limited	1-Apr-93	20-Jan-94	22-Jan-94	1:100	Not Applicable
Lipton India Limited	Brooke Bond India Limited [Name changed to Brooke Bond Lipton India Limited]	1-Jul-93	9-Mar-94	16-May-94	10:9	48.99
The Tata Oil Mills Company Limited	Hindustan Lever Limited <sup>#</sup>	1-Apr-93	28-Dec-94	5-Apr-95	15:2	38.86
Brooke Bond Lipton India Limited	Hindustan Lever Limited <sup>#</sup>	1-Jan-96	21-Mar-97	16-May-97	20:9	52.82
Pond's (India) Limited	Hindustan Lever Limited <sup>#</sup>	1-Jan-98	15-Oct-98	3-Mar-99	4:3	525.00
Industrial Perfumes Limited	Hindustan Lever Limited <sup>#</sup>	1-Jan-99	9-Feb-00	23-Feb-00	5:2	Not Applicable
International Best foods Limited	Hindustan Lever Limited <sup>#</sup>	1-Jun-01	26-Sep-01	20-Oct-01	3:2*	73.84
Aviance Limited	Hindustan Lever Limited <sup>#</sup>	1-Jul-01	25-Sep-01	Not Applicable	Not Applicable	Not Applicable
Tea Estates India Limited (Formerly known as 'Thiashola Tea Company Limited')	Demerger from Hindustan Lever Limited <sup>#</sup>	1-Apr-05	1-Dec-05	2-Dec-05	^	Not Applicable
Doom Dooma Tea Company Limited (Formerly known as 'Daverashola Tea Company Limited')	Demerger from Hindustan Lever Limited <sup>#</sup>	1-Apr-05	1-Dec-05	2-Dec-05	^^	Not Applicable
Lever India Exports Limited	Hindustan Lever Limited <sup>#</sup>	1-Apr-05	30-Dec-05	Not Applicable	Not Applicable	Not Applicable
Lipton India Exports Limited	Hindustan Lever Limited <sup>#</sup>	1-Jan-05	30-Dec-05	Not Applicable	Not Applicable	Not Applicable
Merryweather Food Products Limited	Hindustan Lever Limited <sup>#</sup>	1-Jan-05	30-Dec-05	Not Applicable	Not Applicable	Not Applicable

Name of the Company	Merger / Demerger	Appointed Date	Effective date	Date of Allotment	Share Ratio	Value of fraction (Rs.)
TOC Disinfectants Limited	Hindustan Lever Limited <sup>#</sup>	1-Apr-05	30-Dec-05	26-Apr-06	500:1 **	Not Applicable
International Fisheries Limited	Hindustan Lever Limited <sup>#</sup>	1-Jan-05	30-Dec-05	26-Apr-06	1:1***	Not Applicable
Vashisti Detergents Limited	Hindustan Lever Limited <sup>#</sup>	1-Jul-05	28-Feb-06	10-Apr-06	10:1**** *	28.00
Modern Food Industries (India) Limited & Modern Food and Nutrition Industries Limited	Hindustan Lever Limited <sup>#</sup>	1-Oct-06	30-Mar-07	Not Applicable	Not Applicable	Not Applicable
Shamnagar Estates Private Limited, Jamnagar Properties Private Limited and Daverashola Estates Private Limited (Formerly known as Hindustan Kwaliti Walls Foods Private Limited)	Demerger from Hindustan Lever Limited <sup>#</sup>	1-Nov-06	29-Mar-07	Not Applicable	^^^	Not Applicable
Brooke Bond Real Estates Private Limited	Demerger from Hindustan Unilever Limited	1-Apr-08	1-Sep-08	Not Applicable	^^^^	Not Applicable
Bon Limited	Hindustan Unilever Limited	1-Apr-09	28-Apr-10	Not Applicable	Not Applicable	Not Applicable
Unilever India Exports Limited	Transfer of FMCG Exports Business of Hindustan Unilever Limited	1-Apr-11	1-Jan-12	Not applicable\$	Not applicable\$	Not applicable\$
GlaxoSmithKline Consumer Healthcare Limited	Hindustan Unilever Limited	1-Apr-2020	1st Apr-2020	21st Apr- 2020	4.39:1* ****	2050.28

\*Swap based on Rs.10/- share of International Best foods Limited for Re.1/- share of Hindustan Lever Limited

\*\*Swap based on Rs.5/- share of TOC Disinfectants Limited for Re.1/- share of Hindustan Lever Limited

\*\*\*Swap based on Rs.100/- share of International Fisheries Limited for Re.1/- share of Hindustan Lever Limited

\*\*\*\* Swap based on Rs.10/- share of Vashisti Detergents Limited for Re.1/- share of Hindustan Lever Limited

\*\*\*\*\* Swap based on Rs.10/- share of GlaxoSmithKline Consumer Healthcare Limited for Re.1/- share of Hindustan Unilever Limited

^ 49,50,000 Equity Shares of Rs.10/- each and 10,00,000 Preference Shares of Rs.100/- each were allotted to Hindustan Lever Limited pursuant to the demerger by Tea Estates India Limited

^^4,88,000 Equity Shares of Rs.100/- each and 10,00,000 Preference Shares of Rs.100/- each were allotted to Hindustan Lever Limited pursuant to the demerger by Doom Dooma Tea Company Limited

^^^1,50,00,000 Equity shares of Rs. 10/- each were allotted to Hindustan Lever Limited pursuant to demerger by Shamnagar Estates Private Limited. 50,00,000 Equity shares of Rs. 10/- each were allotted to Hindustan Lever Limited pursuant to demerger by Jamnagar Properties Private Limited. 1,71,700 Equity shares of Rs. 10/- each were allotted to Hindustan Lever Limited pursuant to demerger, by Daverashola Estates Private Limited

^^^^1,29,36,000 Equity Shares of Rs. 10/- each were allotted to Hindustan Unilever Limited pursuant to demerger by Brooke Bond Real Estates Private Limited

\$4,65,000 Equity Shares of Rs. 10/- each were allotted by Unilever India Exports Limited to Hindustan Unilever Limited pursuant to transfer of FMCG Exports Business of Hindustan Unilever Limited

#Name changed to Hindustan Unilever Limited w.e.f. 11th June, 2007.



## INFORMATION FOR SHAREHOLDERS ON THE COMPANY'S WEBSITE

S. No.	Particulars	Weblink
1.	Leadership	<a href="https://www.hul.co.in/our-Company/our-leadership/">https://www.hul.co.in/our-Company/our-leadership/</a>
2.	Policies	<a href="https://www.hul.co.in/investors/corporate-governance/policies/">https://www.hul.co.in/investors/corporate-governance/policies/</a>
3.	Corporate Information, list of Subsidiaries, other circulars and documents	<a href="https://www.hul.co.in/investors/corporate-governance/corporate-information/">https://www.hul.co.in/investors/corporate-governance/corporate-information/</a>
4.	Corporate Governance Code	<a href="https://www.hul.co.in/investors/corporate-governance/our-approach-to-corporate-governance/">https://www.hul.co.in/investors/corporate-governance/our-approach-to-corporate-governance/</a>
5.	Investor Contacts	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/investor-contacts/">https://www.hul.co.in/investors/shareholder-information-and-contacts/investor-contacts/</a>
6.	Recent News	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/recent-news/">https://www.hul.co.in/investors/shareholder-information-and-contacts/recent-news/</a>
7.	Performance Highlights	<a href="https://www.hul.co.in/investors/annual-reports-and-performance-highlights/performance-highlights/">https://www.hul.co.in/investors/annual-reports-and-performance-highlights/performance-highlights/</a>
8.	Quarterly Results and Webcasts	<a href="https://www.hul.co.in/investors/results-and-presentations/quarterly-results-and-webcasts/">https://www.hul.co.in/investors/results-and-presentations/quarterly-results-and-webcasts/</a>
9.	Company Presentations	<a href="https://www.hul.co.in/investors/results-and-presentations/company-presentations/">https://www.hul.co.in/investors/results-and-presentations/company-presentations/</a>
10.	Share Price	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/listing-and-share-price/">https://www.hul.co.in/investors/shareholder-information-and-contacts/listing-and-share-price/</a>
11.	Share Holding Pattern	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/shareholding-pattern/">https://www.hul.co.in/investors/shareholder-information-and-contacts/shareholding-pattern/</a>
12.	Director's Shareholding	<a href="https://www.hul.co.in/investors/corporate-governance/dealing-in-hul-shares/">https://www.hul.co.in/investors/corporate-governance/dealing-in-hul-shares/</a>
13.	Stock Exchange Filings	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/stock-exchange-filings/">https://www.hul.co.in/investors/shareholder-information-and-contacts/stock-exchange-filings/</a>
14.	Regulation 46 of SEBI LODR	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/disclosure-under-regulation-46-of-sebi-lodr/">https://www.hul.co.in/investors/shareholder-information-and-contacts/disclosure-under-regulation-46-of-sebi-lodr/</a>

<b>S. No.</b>	<b>Particulars</b>	<b>Weblink</b>
15.	AGM Notices	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/annual-general-meeting-information/">https://www.hul.co.in/investors/shareholder-information-and-contacts/annual-general-meeting-information/</a>
16.	Annual Reports and related documents	<a href="https://www.hul.co.in/investors/annual-reports-and-performance-highlights/annual-reports/">https://www.hul.co.in/investors/annual-reports-and-performance-highlights/annual-reports/</a>
17.	Information on dividends	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/information-on-dividends/">https://www.hul.co.in/investors/shareholder-information-and-contacts/information-on-dividends/</a>
18.	Information on Investor Service Requests (ISR) and ISR forms	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/investor-service-requests/">https://www.hul.co.in/investors/shareholder-information-and-contacts/investor-service-requests/</a>
19.	Details of unclaimed or unpaid dividend	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/information-on-dividends/">https://www.hul.co.in/investors/shareholder-information-and-contacts/information-on-dividends/</a>
20.	Details of Mergers and Demergers related to the Company	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/mergers-and-demergers/">https://www.hul.co.in/investors/shareholder-information-and-contacts/mergers-and-demergers/</a>
21.	Details of Nodal and Deputy Nodal Officer for IEPF	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/information-on-dividends/">https://www.hul.co.in/investors/shareholder-information-and-contacts/information-on-dividends/</a>
22.	FAQs	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/faqs/">https://www.hul.co.in/investors/shareholder-information-and-contacts/faqs/</a>
23.	Investor Contacts including the Chatbot for Investors - RASHI	<a href="https://www.hul.co.in/investors/shareholder-information-and-contacts/investor-contacts/">https://www.hul.co.in/investors/shareholder-information-and-contacts/investor-contacts/</a>
24.	Escalation Matrix for Shareholders	<a href="https://www.hul.co.in/investor-relations/investor-grievance-redressal-mechanism-escalation-matrix/">https://www.hul.co.in/investor-relations/investor-grievance-redressal-mechanism-escalation-matrix/</a>

## SHAREHOLDER RIGHTS

As per Regulation 4(2)(a) of SEBI (Listing Obligations and Disclosures Requirements) Regulations, 2015, as amended from time to time, hereinafter referred to as 'SEBI Listing Regulations', the rights of Shareholders are as under -

- i. to participate in, and to be sufficiently informed of, decisions concerning fundamental corporate changes.
- ii. opportunity to participate effectively and vote in general shareholder meetings.
- iii. being informed of the rules, including voting procedures that govern general shareholder meetings.
- iv. opportunity to ask questions to the board of directors, to place items on the agenda of general meetings, and to propose resolutions, subject to reasonable limitations.
- v. effective shareholder participation in key corporate governance decisions, such as the nomination and election of members of board of directors.
- vi. exercise of ownership rights by all shareholders, including institutional investors.
- vii. adequate mechanism to address the grievances of the shareholders.
- viii. protection of minority shareholders from abusive actions of controlling shareholders and seeking effective means of redressal.
- ix. to approach the SEBI Complaints Redress System (SCORES) and/or avail the dispute resolution mechanism at the Stock Exchange(s) in case of any unresolved grievance(s).

## DO'S and DON'TS FOR SHAREHOLDERS

### DO's:

- ✓ Ensure that PAN and KYC details (Postal Address with PIN, Mobile Number, E-mail Address, Bank Account Details and Specimen Signature) are updated with the Company, Depository Participant (DP) and Bank(s) for effective communications and relevant transactions.
- ✓ Ensure that the PAN is registered with the Company for every folio/Demat Account.
- ✓ It is advisable to register a nomination with the Company or DP for all the shares held in Physical/Demat mode.
- ✓ Make sure that accurate and comprehensive bank information (specially Bank A/c No., Bank's name, address & IFSC Code) is registered with the Company to enable swift electronic crediting of dividends.
- ✓ Ensure to encash dividends regularly to prevent the transfer of funds or shares to the Investor Education and Protection Fund (IEPF) due to unclaimed amounts.
- ✓ Make sure that the documents submitted for any investor service request are complete in all respects and it is suggested to retain copies of the documents sent to the Company/ its RTA.
- ✓ Convert your physical shares into demat mode.
- ✓ To take active participation in the Shareholder's Meetings either directly or via appointing a proxy and vote on the resolutions proposed.
- ✓ Stay informed about the Company's activities, financial performance, and corporate governance practices by reviewing annual reports, financial statements, and other relevant disclosures.
- ✓ Act in the best interests of the Company and fellow Shareholders, avoid conflicts of interest and promote transparency and accountability.

**DON'ts:**

- × Do not share any confidential information, viz. KYC documents, bank details, demat ID details, certificate number, folio number, distinctive numbers, passwords, and statements.
- × Do not deal with any unregistered/ unauthorized person/ broker/ agent for any investor service request or claim settlement from IEPF.
- × Do not keep any of your folios unregistered/unlinked with your PAN.
- × Do not discuss about your investment related details in public.
- × Do not leave any dividend unclaimed.
- × Do not leave any investment unattended.
- × Do not keep any investment in physical mode.

## DIVIDENDS RELATED INFORMATION

### What is Dividend?

According to the generally accepted definition, “dividend” means a share of Company’s profit, which is not retained in the business and is distributed among the Shareholders in proportion to the amount paid-up on the shares held by them.

Section 2(35) of the Companies Act, 2013 defines dividend as “dividend includes any interim dividend”.

### Types of Dividends

A dividend declared by the Company at its Annual General Meeting on the recommendation of the Board of Directors is called as the **‘Final Dividend’**.

Any dividend declared between two Annual General Meetings is called as the **‘Interim Dividend’**.

### Dividend Distribution Policy of the Company

Pursuant to Regulation 43A of SEBI Listing Regulations, the Company is required to formulate and disclose its Dividend Distribution Policy. Accordingly, the Board of Directors of the Company (‘the Board’) had formulated its Dividend Distribution Policy, which can be accessed [here](#).

The objective of this Policy is to provide clarity to the Company’s stakeholders on the dividend distribution framework to be adopted by the Company. The Board shall recommend dividend in compliance with this Policy, the provisions of the Companies Act, 2013 and Rules made thereunder and other applicable provisions.

## **Dividend history for previous 7 financial years**

The details of the dividends declared by the Company in the previous seven financial years is made available on the website of the Company and can be accessed [here](#).

## **ECS/NECS facility and its benefits**

The Company distributes dividend to its Registered Shareholders using the Electronic Credit Service (ECS). The initial dividend payments are done through National Automated Clearing House (NACH) and any subsequent payment request is processed through National Electronic Fund Transfer (NEFT). The National Electronic Credit Services (NECS) is a centralized version of the ECS facility. Under this facility, the Shareholders can receive the declared dividends by way of direct credit to their respective bank accounts which is registered with the DP.

In case there is any change in the bank account details, the Shareholders shall approach their respective DP to give effect to the same.

### Benefits of ECS facility:

- a. Prompt credit of declared dividend into the bank account through electronic clearance.
- b. Avoiding postal delays/misplacement of dividend warrants, fraudulent encashments of warrants and issuance of duplicate warrants.
- c. Frequent visits to bank for depositing physical warrants are not required.
- d. Easy tracking of dividends credited in the bank account.

## **Can Shareholders holding physical shares avail ECS facilities?**

Although it is advisable to hold shares in the demat form, however, Shareholders holding shares in physical form who wish to avail the ECS facility, may send the duly filled ECS form to the RTA along with following details:

- [Form ISR – 1](#)
- A copy of the cancelled cheque of the bank account to which the dividend is to be credited.

Please ensure that all the bank related details provided in the ECS request form are with respect to an active bank account held by the Shareholder in his/her name either individually or jointly.

### **Can the Company / RTA take on record the bank details in case of shares held in demat form?**

The Depository byelaws state that Companies are obliged to pay dividends as per the details (furnished by the concerned DP) of Shareholders who are holding shares in Demat form.

However, in case a Shareholder who holds shares in demat form needs to record his/her KYC mandate, then such details need to be furnished to the respective DP and not to the Company / RTA, as neither the Company nor RTA is authorised to make or incorporate any change in the records received from the depositories.

### **Tax Deductible at Source (TDS) on dividends**

With effect from 1st April, 2020 dividends paid or distributed by the Company are taxable in the hands of the Shareholders at applicable tax rates and the Company therefore deducts tax at source (TDS) at the time of payment of dividends.



## INVESTOR EDUCATION AND PROTECTION FUND (IEPF) RELATED DETAILS

### ➤ What is IEPF and which Regulatory Authority administers it?

The Central Government has established a fund called as the Investor Education and Protection Fund (IEPF), for administration of the fund, under the provisions of Section 125 of the Companies Act, 2013.

The IEPF Authority is entrusted with the responsibility of administration of the IEPF, making refunds of shares, unclaimed dividends, matured deposits/debentures etc. to investors, promoting awareness among investors and protecting the interests of the investors.

### ➤ Details of the Company's Nodal Officer and Deputy Nodal Officer for IEPF.

Category	Nodal Officer	Deputy Nodal Officer
Name	Ms. Radhika Shah	Ms. Uma Rajagopalan
Designation	Company Secretary & Compliance Officer	Manager – Investor Services
Address	Hindustan Unilever Limited, Unilever House, B. D. Sawant Marg, Chakala, Andheri (E), Mumbai - 400 099.	Hindustan Unilever Limited, Unilever House, B. D. Sawant Marg, Chakala, Andheri (E), Mumbai - 400 099.
Email ID	<a href="mailto:HUL.CompanySecretary@unilever.com">HUL.CompanySecretary@unilever.com</a>	<a href="mailto:HUL.IEPF@unilever.com">HUL.IEPF@unilever.com</a>
Telephone No.	+91 22 5043 2754	+91 22 5043 2790

### ➤ When are dividends and/or shares transferred to IEPF?

- As per Section 124 of the Companies Act, 2013 and Rules made there under, where a dividend has not been paid or claimed within thirty days from the date of declaration of dividend to the entitled Shareholders, then on the expiry of the said thirty days, the Company shall transfer the total amount of dividend which remains unpaid or unclaimed to a special account to be opened by the Company in that behalf in any scheduled bank to be called the **Unpaid Dividend Account**.

- ii. In terms of the said provisions and the rules made there under, Companies are required to hold the unpaid/unclaimed dividend for a period of 7 years. During this period, any eligible shareholder, whose unpaid/unclaimed dividend has been transferred to Unpaid Dividend Account, can claim the same from Companies/ RTAs.
- iii. On the expiry of 7 years, Companies are required to transfer the unpaid/unclaimed dividend amount of the past 7 years to the **IEPF**.
- iv. The said provisions require the Companies to also transfer the shares to the IEPF in respect of which dividend has not been paid or claimed for seven consecutive years.

➤ **How to check whether your dividends and/or shares have been transferred to IEPF?**

The details of unpaid or unclaimed dividends and/or shares which have been transferred to IEPF Authority can be verified either from the website of the [Company](#) or the [IEPF Authority](#).

➤ **Process and documentation to claim unpaid/unclaimed dividends and/or shares from IEPF Authority**

Shareholders whose unpaid or unclaimed dividends and/or shares have been transferred by the Company to the IEPF, shall make a claim by following the below process:

S. No.	Particulars	Timeline
1.	Create/Register a User ID on <a href="#">MCA V3</a> website.	-
2.	Login with the registered credentials and fill the e-Form IEPF-5 available at the below path: <b>MCA Services &gt; Company e-filing &gt; IEPF Services &gt; IEPF-5 – web form claiming unpaid amount and shares.</b> (Read the instruction kit available along with the web form carefully before filling the form)	-

S. No.	Particulars	Timeline
3.	Submit the duly filled Form IEPF-5 along with requisite documents on the <a href="#">MCA V3</a> website. On successful submission, an acknowledgement/ challan will be generated indicating the Serial Registration Number (SRN).	-
4.	Upon submission, Form IEPF-5 gets transmitted online to the Nodal Officer of the Company for verification of claim.	On real-time basis, immediately after filing of Form IEPF-5 by the Claimant
5.	Send self-attested hard copy of e-form IEPF-5 along with other requisite documents (in original) to the Nodal/Deputy Nodal Officer of the Company at its Registered Office for verification of the claim.	Immediately after filing of e-Form IEPF-5
6.	Date of dispatch and proof of dispatch of physical documents should be uploaded on the MCA V3 website.  Note: The Company would be able to file a Verification Report only after the dispatch details are uploaded by the Claimant on MCA V3 website.	Immediately after the dispatch of the physical documents.
7.	Upon receipt of the complete set of documents, the Company verifies the same.	Immediately after receipt of hard copies of documents
8.	After scrutiny of the documents:	
Case 1:	If the documents are found to be complete in all respects, the Company shall file an e-Verification Report with the IEPF Authority <b>approving the claim</b> .	Within 30 days of filing of e-Form IEPF-5 by the Claimant
Case 2:	If any minor deficiency or discrepancy is observed, the Company shall inform the same to the Claimant and if the same is resolved within 30 days of filing of e-form IEPF-5, the Company shall file an e-Verification Report with the IEPF Authority approving the claim.	Within 30 days of filing of e-Form IEPF-5 by the Claimant
Case 3:	If any major deficiency or discrepancy is observed or any minor deficiency or discrepancy which was communicated remained unresolved, the Company: <ul style="list-style-type: none"> <li>shall return all the documents to the Claimant requesting the Claimant to file a fresh Form IEPF-5 after rectifying the discrepancies.</li> <li>shall file an e-verification report with the IEPF Authority <b>rejecting the claim</b> on account of the deficiency or discrepancy observed.</li> </ul>	Within 30 days of filing of e-Form IEPF-5 by the Claimant

S. No.	Particulars	Timeline
9.	If no hard copy of documents is received by the Company within 30 days of filing of e-Form IEPF-5 by the Claimant, the Company shall file an e-verification report with the IEPF Authority <b>rejecting the claim</b> on account of non-receipt of hard copy of documents.	On the 30th day after e-form IEPF-5 was filed by the Claimant
10.	As per rule 7(6) of IEPF (Accounting, Audit, Transfer and Refund) Rules, 2016, as amended from time to time, (IEPF Rules), an application received for refund of any claim under this rule duly verified by the concerned Company shall be disposed off by the IEPF Authority by way of: <ul style="list-style-type: none"> <li>• approval; or</li> <li>• rejection; or</li> <li>• raising discrepancies in the claim.</li> </ul>	Within 60 days from the date of receipt of Verification Report from the Company.  Any delay beyond 60 days shall be recorded in writing specifying the reasons for the delay and the same shall be communicated to the Claimant by the IEPF Authority.
11.	In case any discrepancy is raised by the IEPF Authority, a Verification Report resolving the discrepancy, either with the existing information and documents or by getting additional documents from the Claimant, shall be filed by the Company.  After resubmission of Verification Report, the IEPF Authority shall dispose off the claim as per the aforesaid timelines.	within 15 days from the date of receiving discrepancy.

**For the convenience of the Claimants, we give below a ready list of documents to be attached to the e-Form IEPF-5 -**

S. No.	Documents	Remarks
1.	Self-attested copy of Form IEPF-5	-
2.	MCA Challan (Acknowledgment receipt of Form IEPF-5)	Generated against the serial number (SRN) on MCA V3 portal after filing of Form IEPF-5.
3.	Indemnity Bond	Indemnity Bond shall be dated and signed by Claimant(s) and witnesses. Manner of execution is as under:

S. No.	Documents	Remarks	
		Market Value of shares and / or dividends	Execution of Indemnity Bond
		Upto Rs. 10,000/-	It can be executed on a plain paper.
		More than Rs. 10,000/-	To be executed on a non-judicial stamp paper with the amount of stamp duty to be paid as per state laws
4.	Proof of Entitlement	<ul style="list-style-type: none"> <li>For claim of dividend only - Dividend warrant(s) or self-attested copy of share certificate(s)</li> <li>For claim of both dividend &amp; shares- Original share certificate(s).</li> <li>In case of transmission- Legal heir/ Successor/ Nominee shall ensure that the transmission process is completed before filing the claim.</li> <li>In case of loss of share certificate(s)- the process of issue of duplicate share certificate(s) is to be complied with, before filing the claim.</li> </ul>	
5.	Self-attested copy of Aadhaar Card / Passport and Address proof	<ul style="list-style-type: none"> <li>Case 1: Resident Indian(s)- In case of joint holding, self-attested copy of Aadhaar Card of all joint holders.</li> <li>Case 2: Non-Resident Indian(s)- In case of joint holding, self-attested copy of Passport(s) and address proof(s) of all joint holders.</li> </ul>	
7.	Self-attested copy of PAN Card	In case of joint holding, self- attested copy of PAN Card of all joint holders.	
8.	Self-attested copy of Client Master List	<u>In case of joint holding:</u> <ul style="list-style-type: none"> <li>self-attested copy of Client Master List (CML) of the demat account, opened in the name of all Shareholders and in the order in which the shares are held by all joint holders; or</li> <li>CML of one holder and NOC from other holders, in case the CML of only one of the holders is being submitted.</li> </ul>	
9.	Original cancelled cheque leaf of the bank a/c mentioned in the Form IEPF-5	If cheque leaf does not have the Name, Bank and Branch Name, IFSC Code etc. printed on it, copy of passbook, duly attested by the Bank can be submitted.	
10.	Other Attachments	<ul style="list-style-type: none"> <li>Self-attested copy of Entitlement letter provided by the Company.</li> <li>In case of change in name or address from corresponding documents- Affidavit on the Rs. 100/- non-judicial stamp paper, for change in name and</li> </ul>	

S. No.	Documents	Remarks
		<p>address along with supporting documentary proof of new name and address.</p> <ul style="list-style-type: none"> <li>• <u>For Foreigners and NRI-</u> Copy of Passport, OCI and Person of Indian Origin (PIO) Card.</li> </ul>

**Notes:**

- In case of joint holders, the documents shall be signed by all the joint holders.
- Hard copy of the same is required to be sent to the Company (in original).

## INVESTOR SERVICE REQUEST (ISR) DETAILS

### 1. What is an ISR?

ISR means an Investor Service Request and the following is a list of ISRs along with their respective timelines for processing, as prescribed by SEBI -

Sr. No.	Nature of ISR	Timeline (No. of days)
<b>A.</b>	<b>Processing of requests for Registration of / Updation of / Change in</b>	
1.	Name	30
2.	Signature	30
3.	PAN	15
4.	Nominee details	30
5.	Bank account details	15
6.	Contact details (Postal Address with PIN, E-Mail Address and Mobile Number)	15
<b>B.</b>	<b>Other ISRs</b>	
1.	Transmission	30
2.	Deletion of Name	
3.	Exchange of share certificates	30
4.	Loss of Share Certificate / Issuance of duplicate Share Certificate (Letter of Confirmation)	30
5.	Transposition	15
6.	Dematerialization	15
7.	Re-validation of dividend and sending the remittance request files to the Company	15

### 2. Applicable forms for each of the ISRs -

S. No.	Investor Service Request	FORM
1.	Form for registering PAN / KYC details or changes / updation thereof.	<a href="#">ISR-1</a>
2.	Confirmation of signature of securities holder by the Banker	<a href="#">ISR-2</a>
3.	Declaration Form for Opting-out of Nomination	<a href="#">ISR-3</a>
4.	Request for issue of Duplicate Certificate and other Service Requests	<a href="#">ISR-4</a>

S. No.	Investor Service Request	FORM
5.	Request for Transmission of Securities by Nominee(s) or Legal Heir(s)	<a href="#">ISR-5</a>
6.	Nomination Form	<a href="#">SH-13</a>
7.	Form for cancellation or variation of nomination	<a href="#">SH-14</a>

### 3. Procedure for ISRs -

#### A. Updation of PAN (Aadhaar seeded), KYC & Choice of Nomination:

##### ➤ Process -

1. As per circulars issued by SEBI from time to time, it is mandatory for holders of physical securities to furnish PAN, KYC (Name, Postal Address with PIN, E-mail Address, Contact No, Bank details) and Choice of Nomination before getting any ISR processed.
2. Shareholders who are yet to update their PAN, KYC and Choice of Nomination details are therefore urged to update the same, by submitting the prescribed forms i.e., [ISR-1](#), [ISR-2](#), [ISR-3](#) or [SH-13](#) or [SH-14](#), as the case may be, duly filled, to the Company's RTA by way of:
  - email from their registered E-mail ID; or
  - sending a physical copy of the prescribed forms, duly filled and signed by the Registered Shareholder(s) at the registered address of the Company's RTA.

#### **Reminder Letters sent by the Company**

In accordance with the SEBI circular dated 16th March, 2023, as amended from time to time, the Company sends out intimations to those Shareholders, holding shares in physical form, whose PAN, KYC and/or Choice of Nomination are not updated, requesting them to update the details.



➤ **Consequences of Non-Update of KYC-**

1. Shareholders, holding shares in physical form wherein PAN, KYC or Choice of Nomination details are not updated, will not be eligible to lodge grievances or avail any investor service request(s) till such time that the said details are furnished.
2. SEBI, vide its circular dated November 03, 2021 read with its subsequent circulars issued from time to time, mandated that the Shareholders with effect from April 01, 2024, holding shares in physical form, whose folio(s) do not have PAN, KYC or Choice of Nomination details updated, shall be eligible for dividend in respect of such folios, only through electronic mode upon furnishing of all the aforesaid details.
3. Hence, in case of non-update of PAN, KYC or Choice of Nomination details, no dividend warrants or demand drafts, etc. shall be issued for payment of dividend in physical form. Please refer FAQs issued by SEBI in this regard.

➤ **What happens if PAN and KYC details are updated but only 'Choice of Nomination' is not updated?**

As per [SEBI Circular dated June 10, 2024](#), Shareholder(s) holding shares in physical form shall be eligible:

- for receipt of dividend;
- to lodge grievance; and
- to avail any ISR

even if 'choice of nomination' is not submitted.

## **B. Transmission of shares:**

### **Updation of PAN (Aadhaar Seeded), KYC & Choice of Nomination**

Shareholders, holding shares in physical form wherein PAN, KYC or Choice of Nomination is not updated, will not be eligible to lodge grievances or avail any investor service request(s) till such time that the above details are furnished.

Complete procedure for updation of KYC details is provided above under the heading '3 A. Updation of PAN (Aadhaar seeded), KYC & Choice of Nomination'. It is recommended to update the KYC details before proceeding with any ISR request(s).

If a Shareholder of the Company holds shares singly or jointly and in physical form, in the unfortunate event of the death of sole or all joint holders without leaving a Will, the Legal heir(s)/ Successor(s)/ Nominee(s) can get the shares transmitted into their name(s) by furnishing the following documents:

### **Case 1: Sole holder/All joint holders deceased & Nomination is registered:**

- a. Request Letter for transmission, duly signed by the Nominee(s), quoting the folio number.
- b. Duly filled and signed Transmission Request Form ([ISR-5](#)).
- c. Original Share Certificate(s).
- d. Original Death Certificate or copy of Death Certificate duly attested by a Notary Public/ Gazette Officer.
- e. Self-attested copy of PAN Card of the Nominee(s).
- f. Self-attested copy of address proof of the Nominee(s) such as Passport/ Driving License/ Voter Card/ Aadhaar Card, etc.
- g. Signature verification of Nominee(s) from a Scheduled Commercial Bank ([ISR-2](#)).
- h. Copy of Birth Certificate, in case the Nominee(s) is a Minor.
- i. Cancelled Cheque
- j. Copy of CML.

**Case 2: Sole holder/All holders deceased & Nomination is not registered:**

- a. Request Letter for transmission duly signed by the Legal Heir(s)/ Successor(s), quoting the folio number.
- b. Duly filled and signed Transmission Request Form ([ISR-5](#)).
- c. Original Share Certificate(s).
- d. Original Death Certificate or copy of Death Certificate duly attested by a Notary Public/ Gazette Officer.
- e. Self-attested copy of PAN Card of the Legal Heir(s)/ Successor(s).
- f. Self-attested copy of address proof of the Legal Heir(s)/ Successor(s) such as Passport/ Driving License/ Voter Card/ Aadhaar Card, etc.
- g. Signature verification of Legal Heir(s)/ Successor(s) from a Scheduled Commercial Bank ([ISR-2](#)).
- h. Copy of Birth Certificate, in case the Legal Heir(s)/ Successor(s) is a Minor.
- i. A notarized Affidavit, in the format provided in [Annexure – D](#) to [SEBI Circular dated 18th May, 2022](#) to the effect of identification and claim of legal ownership to the shares, from the following on non-judicial stamp paper of Rs. 500/- or of appropriate value as per Stamp Act applicable in the respective State where the Bond is executed:
  - all Legal Heir(s) or
  - Legal Heirs named in Succession Certificate/ Registered Will/ Probate of Will/ Letter of Administration/ Legal Heirship Certificate (or its equivalent certificate)/ Court Decree.
- j. Copy of any one of the following documents –
  - (i) Succession Certificate;
  - (ii) Probate of Will;
  - (iii) Registered Will along with a notarized [Indemnity Bond \(in Format of Annexure E to SEBI Circular dated 18th May, 2022\)](#) made on non-judicial stamp paper of Rs. 500/- or of appropriate value as per Stamp Act applicable in the respective State where the Bond is executed, from Legal Heir(s) / Successor(s) to whom the shares are to be transmitted;

- (iv) Letter of Administration;
  - (v) Court Decree;
  - (vi) Legal Heirship Certificate or its equivalent along with a notarized [Indemnity Bond \(in Format of Annexure E to SEBI Circular dated 18th May, 2022\)](#) made on non-judicial stamp paper of Rs. 500/- or of appropriate value as per Stamp Act applicable in the respective State where the Bond is executed, from all Legal heir(s) to whom the shares are to be transmitted and [No Objection Certificate \(in Format of Annexure F to SEBI Circular dated 18th May, 2022\)](#) from all the Non-Claimants, duly attested by a Notary Public/ by a Gazetted Officer.
- k. In the absence of documents provided for in point (j) above **and** the value of shares in physical mode is upto Rs. 5 Lakhs and value of shares in dematerialized mode is upto Rs. 15 Lakh an, the following documents may be submitted:
- (i) notarized [Indemnity Bond \(in Format of Annexure E to SEBI Circular dated 18th May, 2022\)](#) made on non-judicial stamp paper of Rs. 500/- or of appropriate value as per Stamp Act applicable in the respective State where the Bond is executed.
  - (ii) [No Objection Certificate \(in Format of Annexure F to SEBI Circular dated 18th May, 2022\)](#) from all Legal Heirs(s), or copy of family settlement deed executed by all the Legal Heirs, duly attested by a Notary Public or by a Gazetted Officer.
- l. Cancelled Cheque.
- m. Copy of CML.

**Procedure followed by RTA after receipt of entire set of documents complete in all respects:**

- After scrutinizing the submitted documents and if found in order, the RTA shall issue a **Letter of Confirmation (LOC)** in place of physical share certificates, to the Claimant(s) within 30 days of receipt of such request.

- The said LOC shall be valid only for a period of 120 days from the date of issuance, within which the Claimant is supposed to make a request to their DP for dematerializing the shares.
- If the Claimant(s) fails to submit the demat request within the aforesaid period, the Company shall credit the shares to the Suspense Escrow Demat Account (SEDA).

### **C. Deletion of Name:**

#### **Updation of PAN (Aadhaar Seeded), KYC & Choice of Nomination**

Shareholders, holding shares in physical form wherein PAN, KYC or Choice of Nomination is not updated, will not be eligible to lodge grievances or avail any investor service request(s) till such time that the above details are furnished.

Complete procedure for updation of KYC details is provided above under the heading '3 A. Updation of PAN (Aadhaar seeded), KYC & Choice of Nomination'. It is recommended to update the KYC details before proceeding with any ISR request(s).

Following documents are required for deletion of name in case of joint holders –

- a. Original Share Certificate(s);
- b. Self-attested copy of the Death Certificate of deceased shareholder(s);
- c. Self-attested copies of PAN Card of surviving shareholder(s);
- d. Request letter in [Form ISR-4](#);
- e. Address Proof.

#### **Additional Documents for Corporate Shareholders**

- f. Board Resolution
- g. List of Authorised Signatories
- h. Request letter on the letterhead of Corporate.

#### **Additional Documents for Banks**

- i. Unlike Corporate Shareholders, for Banks, signing authority is given not by way of Board Resolution but through Delegation of Powers (DoP) on the basis of which bank signatories acquire approval rights. Hence, for any ISR received from a Bank as a Shareholder, in lieu of Board Resolution, extract of DoP on the letterhead of the bank signed by a duly authorised signatory

bearing stamp of the bank mentioning the required details including the following shall be obtained:

- registration number / employee code for the authority;
- name of the Bank Official authorised as a signatory;
- specimen signature.

**Procedure followed by RTA after receipt of entire set of documents complete in all respects:**

- After scrutinizing the submitted documents and if found in order, the RTA shall issue a **Letter of Confirmation (LOC)** in place of physical share certificates, to the Claimant(s) within 30 days of receipt of such request.
- The said LOC shall be valid only for a period of 120 days from the date of issuance, within which the Claimant is supposed to make a request to their DP for dematerializing the shares.
- If the Claimant(s) fails to submit the demat request within the aforesaid period, the Company shall credit the shares to the Suspense Escrow Demat Account (SEDA).

## **D. Exchange of Shares:**

### **Updation of PAN (Aadhaar Seeded), KYC & Choice of Nomination**

Shareholders, holding shares in physical form wherein PAN, KYC or Choice of Nomination is not updated, will not be eligible to lodge grievances or avail any investor service request(s) till such time that the above details are furnished.

Complete procedure for updation of KYC details is provided above under the heading '3 A. Updation of PAN (Aadhaar seeded), KYC & Choice of Nomination'. It is recommended to update the KYC details before proceeding with any ISR request(s).

Following documents are required for exchange of share certificates of face value Rs. 10/- each with share certificates of face value of Re. 1/- each:

- a. Original Share Certificate(s) of Rs. 10/- each;
- b. Request letter duly signed by all Shareholders in Form [ISR-4](#);
- c. Self-attested copy of PAN Card;

### **Additional Documents for Corporate Shareholders**

- d. Board Resolution;
- e. List of Authorised Signatories;
- f. Request letter on the letterhead of Corporate.

### **Additional Documents for Banks**

- g. Unlike Corporate Shareholders, for Banks, signing authority is given not by way of Board Resolution but through Delegation of Powers (DoP) on the basis of which bank signatories acquire approval rights. Hence, for any ISR received from a Bank as a Shareholder, in lieu of Board Resolution, extract of DoP on the letterhead of the bank signed by a duly authorised signatory bearing stamp of the bank mentioning the required details including the following shall be obtained:
  - registration number / employee code for the authority;



- name of the Bank Official authorised as a signatory;
- specimen signature.

**Procedure followed by RTA after receipt of entire set of documents complete in all respects:**

- After scrutinizing the submitted documents and if found in order, the RTA shall issue a **Letter of Confirmation (LOC)** in place of physical share certificates, to the Claimant(s) within 30 days of receipt of such request.
- The said LOC shall be valid only for a period of 120 days from the date of issuance, within which the Claimant is supposed to make a request to their DP for dematerializing the shares.
- If the Claimant(s) fails to submit the demat request within the aforesaid period, the Company shall credit the shares to the Suspense Escrow Demat Account (SEDA).

## **F. Loss / Misplacement of share certificate(s):**

### **Updation of PAN (Aadhaar Seeded), KYC & Choice of Nomination**

Shareholders, holding shares in physical form wherein PAN, KYC or Choice of Nomination is not updated, will not be eligible to lodge grievances or avail any investor service request(s) till such time that the above details are furnished.

Complete procedure for updation of KYC details is provided above under the heading '3 A. Updation of PAN (Aadhaar seeded), KYC & Choice of Nomination'. It is recommended to update the KYC details before proceeding with any ISR request(s).

A Shareholder holding shares in physical form, upon realising the loss/ misplacement of the Share Certificate(s) of the Company, shall inform the Company/ its RTA regarding the same, either by sending email from registered email ID or letter signed by the registered holder(s). The email or letter shall include details such as folio number, number of shares and other relevant information.

The RTA after scrutinizing the details shall place a cautionary 'stop remark' on the folio to prevent any further transaction and provide the detailed procedure to the Shareholder, to be followed for issuance of duplicate Share Certificate(s).

### **Procedure for obtaining duplicate share certificate(s)-**

Following documents are required to be submitted to the Company's RTA for issuance of duplicate Share Certificate(s) by the registered holder(s) duly complete in all respects:

- a. Request letter in Form [ISR-4](#);
- b. Self-attested copy of PAN Card of the Shareholder;
- c. Affidavit on non-judicial stamp paper of Rs.100/- or of appropriate value as per Stamp Act applicable in the respective State where the Affidavit is executed (refer Form A of [SEBI Circular dated May 25, 2022](#));

- d. Indemnity Bond on non-judicial stamp paper of Rs. 500/- or of appropriate value as per Stamp Act applicable in the respective State where the Bond is executed (Refer Form B of [SEBI Circular dated May 25, 2022](#));
- e. Copy of FIR including e-FIR / Police Complaint / Court Injunction Order / copy of Plaint (where the Suit filed has been accepted by the Court and Suit No. has been given), necessarily having details of the shares, folio no., distinctive no. range and certificate nos.
- f. Copy of Newspaper advertisement, regarding loss of securities in a widely circulated newspaper, necessarily having details of the shares, folio no., distinctive no. range and certificate nos.
- g. The requirement of clauses (e) and (f) will not apply if the market value of shares as on the date of submission of application, along with complete documentation does not exceed Rs. 5 Lakhs;
- h. Further, for overseas security holder(s), self-declaration of the share certificates lost / misplaced/ stolen which shall be duly notarized / apostilled / attested by the Indian Consulate / Embassy in their country of residence, along with self-attested copies of valid passport and overseas address proof instead of documents mentioned in point (d) would suffice.

#### **Additional documents For Corporate Shareholders**

- i. Board Resolution
- j. List of Authorised Signatories
- k. Request letter on the letterhead of Corporate.

#### **Additional Documents for Banks**

- l. Unlike Corporate Shareholders, for Banks, signing authority is given not by way of Board Resolution but through Delegation of Powers (DoP) on the basis of which bank signatories acquire approval rights. Hence, for any ISR received from a Bank as a Shareholder, in lieu of Board Resolution, extract of DoP on the letterhead of the bank signed by a duly authorised signatory bearing stamp of the bank mentioning the required details including the following shall be obtained:

- registration number / employee code for the authority;
- name of the Bank Official authorised as a signatory;
- specimen signature.

**Procedure followed by RTA after receipt of entire set of documents complete in all respects:**

- After scrutinizing the submitted documents and if found in order, the RTA shall issue a **Letter of Confirmation (LOC)** in place of physical share certificates, to the Claimant(s) within 30 days of receipt of such request.
- The said LOC shall be valid only for a period of 120 days from the date of issuance, within which the Claimant is supposed to make a request to their DP for dematerializing the shares.
- If the Claimant(s) fails to submit the demat request within the aforesaid period, the Company shall credit the shares to the Suspense Escrow Demat Account (SEDA).

**Notes:**

1. When LOC has been issued but Share Certificates which were earlier reported as lost, have been traced by the Shareholder, then the original Share Certificate(s) should be surrendered to the RTA.
2. If the Shareholder finds the original Share Certificate(s) before complying with the procedure for obtaining duplicate Share Certificates(s) but after applying for issuance of duplicate Share Certificate(s), then he shall inform the same to the RTA immediately to disable the 'stop remark' tag on the folio.

## **G. Transposition of Shares:**

### **Updation of PAN (Aadhaar Seeded), KYC & Choice of Nomination**

Shareholders, holding shares in physical form wherein PAN, KYC or Choice of Nomination is not updated, will not be eligible to lodge grievances or avail any investor service request(s) till such time that the above details are furnished.

Complete procedure for updation of KYC details is provided above under the heading '3 A. Updation of PAN (Aadhaar seeded), KYC & Choice of Nomination'. It is recommended to update the KYC details before proceeding with any ISR request(s).

Following documents are required for transposition of shares -

- a. Original Share certificate
- b. Request letter duly signed by all holders (in Form [ISR-4](#))
- c. Self-attested copy of PAN Card

### **Additional Documents for Corporate Shareholders**

- d. Board Resolution
- e. List of Authorised Signatories
- f. Request letter on the letterhead of Corporate.

### **Additional Documents for Banks**

- g. Unlike Corporate Shareholders, for Banks, signing authority is given not by way of Board Resolution but through Delegation of Powers (DoP) on the basis of which bank signatories acquire approval rights. Hence, for any ISR received from a Bank as a Shareholder, in lieu of Board Resolution, extract of DoP on the letterhead of the bank signed by a duly authorised signatory bearing stamp of the bank mentioning the required details including the following shall be obtained:

- registration number / employee code for the authority;
- name of the Bank Official authorised as a signatory;

- specimen signature.

**Procedure followed by RTA after receipt of entire set of documents complete in all respects:**

- After scrutinizing the submitted documents and if found in order, the RTA shall issue a **Letter of Confirmation (LOC)** in place of physical share certificates, to the Claimant(s) within 30 days of receipt of such request.
- The said LOC shall be valid only for a period of 120 days from the date of issuance, within which the Claimant is supposed to make a request to their DP for dematerializing the shares.
- If the Claimant(s) fails to submit the demat request within the aforesaid period, the Company shall credit the shares to the Suspense Escrow Demat Account (SEDA).

## **H. Dematerialisation of shares:**

### **Updation of PAN (Aadhaar Seeded), KYC & Choice of Nomination**

Shareholders, holding shares in physical form wherein PAN, KYC or Choice of Nomination is not updated, will not be eligible to lodge grievances or avail any investor service request(s) till such time that the above details are furnished.

Complete procedure for updation of KYC details is provided above under the heading '3 A. Updation of PAN (Aadhaar seeded), KYC & Choice of Nomination'. It is recommended to update the KYC details before proceeding with any ISR request(s).

Dematerialisation is the process of converting shares held in physical mode into shares in electronic mode by way of crediting the same in the investor's demat account maintained by the Depository Participant (DP).

### **Following documents are to be submitted to the DP**

- a. Original Share Certificate / Letter of Confirmation;
- b. Demat Request Form (DRF)
- c. Copy of CML

### **Additional Documents for Corporate Shareholders**

- d. Board Resolution
- e. List of Authorised Signatories
- f. Request letter on the letterhead of Corporate.

### **Additional Documents for Banks**

- g. Unlike Corporate Shareholders, for Banks, signing authority is given not by way of Board Resolution but through Delegation of Powers (DoP) on the basis of which bank signatories acquire approval rights. Hence, for any ISR received from a Bank as a Shareholder, in lieu of Board Resolution, extract of DoP on the letterhead of the bank signed by a duly authorised signatory bearing stamp

of the bank mentioning the required details including the following shall be obtained:

- registration number / employee code for the authority;
- name of the Bank Official authorised as a signatory;
- specimen signature.



## **SUSPENSE ESCROW DEMAT ACCOUNT (SEDA) DETAILS**

### **What is Suspense Escrow Demat Account (SEDA)?**

SEDA is a demat account maintained by the Company in compliance with the [SEBI Circular dated January 25, 2022](#).

### **When are shares transferred to SEDA?**

- The Company after verification and processing of the ISRs, issues a 'Letter of Confirmation' (LOC) to the Claimant(s) in lieu of physical share certificates.
- The said LOC is valid only for 120 days from the date of its issuance.
- After expiry of 45 days and 90 days from the date of issuance of LOC, the RTA shall send reminders to the Claimant(s) to submit the request in case no demat request is received by the RTA.
- If the Claimant(s) fails to submit the LOC / demat request with the DP within the said 120 days, the Company is required to transfer the shares to its SEDA.

### **How to prevent transfer of shares to SEDA?**

- The Claimant(s) / Shareholder(s) shall submit the LOC along with other relevant documents, to their DP within 120 days of LOC being issued.
- Ensure regular follow up with the respective DP to ensure that the shares are dematted.

### **How to claim back shares transferred to SEDA?**




Shares of the Company which have been transferred to SEDA may be claimed by the Claimant / Shareholder on submission of the following documents with the Company's RTA:

- a) Duly filled and signed Form [ISR-4](#)
- b) Client Master List (CML) of the demat account for crediting the shares to the Shareholder's / Claimant's account.

## Chatbot RASHI – One stop solution for Investor Service queries and requests



The Company believes that the Shareholders should get prompt response to their queries. Accordingly, a Website Chatbot '[RASHI - Reliable Assistant & Support for HUL Investors](#)' has been developed for Shareholders of the Company. Key features of RASHI are as under:

-  The Bot will enable the Shareholders visiting our website to get their queries resolved on a real-time basis
-  The Bot is designed to answer queries based on FAQs covering all aspects of Investor Service Domain
-  Provision made to capture any query not covered, to equip the bot to respond to such queries in future

## FREQUENTLY ASKED QUESTIONS (FAQs)

A list of [FAQs](#) is available on the Company's website.

## INVESTOR GRIEVANCE REDRESSAL MECHANISM – ESCALATION MATRIX

The Company believes that a transparent framework should be in place for handling investor grievances, which will enable investors register and escalate their grievances to the relevant officials.

Keeping this in view, the Company has instituted an escalation mechanism for effective redressal of investor grievances. The detailed Escalation Matrix for redressal of Investor grievances along with details on how investors can file complaints is available on the [Company's website](#). The same is also reproduced below for ready reference.

Primary Contact/ Escalation	Contact Details
<b>Primary Contact – Registrar and Share Transfer Agent (RTA)</b>	<b>KFin Technologies Limited</b> <b>Address:</b> Unit - Hindustan Unilever Limited Selenium Tower B, Plot No 31 & 32, Gachibowli Financial District, Nanakramguda, Hyderabad – 500 032 <b>Contact Person:</b> Ms. Krishna Priya Maddula <b>Email:</b> <a href="mailto:einward.ris@kfintech.com">einward.ris@kfintech.com</a> <b>Toll Free no.:</b> 1800 309 4001 <b>WhatsApp no.:</b> +91 91000 94099 <b>Website:</b> <a href="http://www.kfintech.com">www.kfintech.com</a> / <a href="https://ris.kfintech.com">https://ris.kfintech.com</a> <b>KPRISM App:</b> <a href="#">KPRISM</a> (for iOS) <b>Investor Support Centre (DIY link):</b> <a href="https://ris.kfintech.com/clientservices/isc">https://ris.kfintech.com/clientservices/isc</a>
<b>1st Escalation – Investor Services Department</b>	<b>Investor Services Department</b> <b>Address:</b> Hindustan Unilever Limited, Unilever House, B. D. Sawant Marg, Chakala, Andheri (E), Mumbai - 400 099. <b>Contact Person:</b> Mr. Milind Shelar <b>Email:</b> <a href="mailto:levercare.shareholder@unilever.com">levercare.shareholder@unilever.com</a> <b>Tel.:</b> +91 86579 21862 / +91 22 5043 2792
<b>2nd Escalation - Manager - Investor Services</b>	<b>Ms. Uma Rajagopalan</b> Manager - Investor Services and Deputy Nodal Officer for IEPF <b>Address:</b> Hindustan Unilever Limited, Unilever House,

Primary Contact/ Escalation	Contact Details
	<p>B. D. Sawant Marg, Chakala, Andheri (E), Mumbai - 400 099. <b>Email:</b> <a href="mailto:HUL.IEPF@unilever.com">HUL.IEPF@unilever.com</a> <b>Tel.:</b> +91 22 5043 2790</p>
<b>3rd Escalation - Company Secretary &amp; Compliance Officer</b>	<p><b>Ms. Radhika Shah</b> Company Secretary &amp; Compliance Officer and Nodal Officer for IEPF <b>Address:</b> Hindustan Unilever Limited, Unilever House, B. D. Sawant Marg, Chakala, Andheri (E), Mumbai - 400 099. <b>Email:</b> <a href="mailto:HUL.CompanySecretary@unilever.com">HUL.CompanySecretary@unilever.com</a> <b>Tel.:</b> + 91 22 5043 2754</p>
<b>4th Escalation - Alternative 1 - Stakeholders Relationship Committee</b>	<p><b>Mr. Ranjay Gulati,</b> Chairperson, Stakeholders Relationship Committee <b>Address:</b> Hindustan Unilever Limited, Unilever House, B. D. Sawant Marg, Chakala, Andheri (E), Mumbai - 400 099.</p>
<b>4th Escalation - Alternative 2 - SCORES or Exchanges</b>	<p>In case the Complaint stands unresolved / not resolved up to the satisfaction of Investor(s), they may lodge a complaint with:</p> <p><b>a. SEBI (SCORES Portal)</b> <a href="https://scores.gov.in/scores/Welcome.html">https://scores.gov.in/scores/Welcome.html</a> or</p> <p><b>b. Exchanges</b> <b>NSE:</b> <a href="https://investorhelpline.nseindia.com/NICEPLUS/">https://investorhelpline.nseindia.com/NICEPLUS/</a> <b>BSE:</b> <a href="https://bsecrecs.bseindia.com/ecomplaint/frmlInvestorHome.aspx">https://bsecrecs.bseindia.com/ecomplaint/frmlInvestorHome.aspx</a> or</p> <p><b>c. Online Dispute Resolution (ODR) Platform:</b> <a href="https://smartodr.in/login">https://smartodr.in/login</a></p>

## DISCLAIMER

This Shareholder Manual is intended to provide Shareholders of the Company with general information including details regarding the Company, Shareholders' rights, common procedures, documentation requirements for ISRs, IEPF, SEDA, Escalation Matrix, etc.

Please note that the Manual is an informal guide only and does not constitute a legal or professional advice. While the Company shall endeavour to keep the Manual updated at all times, however, in case of any unintentional errors, omissions or non-updation, the Company, its Directors or Officers shall not be held liable to any person(s) for any loss or damage caused.

Shareholders are kindly requested to also refer the specific provisions of law for precise details and guidance.

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