

**COAL INDIA LTD**

**(GOVT OF INDIA UNDERTAKING)**

CIN- L23109WB1973GOI028844

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Action Area-1A, New Town Rajarhat Kolkata-700156, West Bengal

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**POLICY FOR PRESERVATION, UTILISATION  
AND CONTROL OF STATIONERY INCLUDING  
BLANK CERTIFICATES, DIVIDEND/  
INTEREST/ REDEMPTION WARRANTS**

**(Pursuant to SEBI Circular No. SEBI / HO / MIRSD /  
DOP1/CIR/P/2018/73 dated April 20, 2018)**

**DATE OF COMMENCEMENT: 12<sup>th</sup> March' 2020**

## **I. TITLE AND COMMENCEMENT**

This policy shall be called the 'Policy to Maintain Proper Usage and Control on Stationery Including Blank Certificates, Dividend/ Interest/ Redemption Warrants'. It shall come into force with immediate effect or from such other date as may be mentioned herein.

## **II. PREFACE**

The Securities and Exchange Board of India vide its circular no. SEBI/HO/MIRSD/DOP1/CIR/P/2018/73 dated April 20, 2018 (SEBI Circular) requires Registrar and Share Transfer Agent (RTA) and the Company to frame a written policy and shall maintain strict control on stationery including blank certificates, dividend/interest/redemption warrants(pre-signed blank stationery). Accordingly, M/s Alankit Assignments Ltd., Registrar and Share Transfer Agent (RTA) of the Company and the Company have framed this Policy.

## **III. SCOPE AND APPLICABILITY**

This policy shall apply to all kind of stationeries used and maintained by the company or RTA on behalf of the Company or Banker to an issue. Such stationeries include blank certificates, dividend/interest/redemption warrants etc.

## **IV. OBJECTIVE**

The objective of this policy is to maintain strict control on stationeries including blank certificates, dividend/ interest/ redemption warrants and to periodically check by physical verification.

## **V. DEFINITIONS**

- a) **“Board of Directors”** or **“Board”** means the Board of Directors of Coal India Limited as constituted / re- constituted from time to time.
- b) **“Company”** means Coal India Limited.
- c) **“Policy”** or **“this Policy”** means Policy for Preservation, Utilisation and Control of Stationery including blank certificates, dividend/ interest/redemption warrants etc.
- d) **“RTA”** means the Registrar and Share Transfer Agents of the Company i.e. M/s Alankit Assignments Ltd.
- e) **“SEBI”** means the Securities and Exchange Board of India.

## **VI. MONITORING OF THE USAGE OF BLANK STATIONERY:**

- a) The pre-signed (facsimile or otherwise) blank stationery i.e., blank certificates, Dividend Warrants etc., shall be printed only with the authority of the Board or any Committee duly authorised by the Board in this behalf. The authority of the Board or the Committee, as the case may be, shall also include the quantity to be printed by the Company.

- b) All the pre-signed blank stationery shall be kept under the custody of the Company Secretary of the Company and shall be issued to RTA under proper authorisation of the Company Secretary.
- c) The Company Secretary of the Company shall maintain a proper record of the pre-signed blank stationery lying with the Company and delivered to RTA for issue to the shareholders.
- d) The Blank Stationery lying with the Company shall be used only with the permission of the Company Secretary, if any and in case where there is no Company Secretary, by such other officer as may be specified by the Board for such purpose.
- e) RTA shall maintain the Register of the Blank Stationery with details of opening balance, receipt, issue and closing balance.
- f) The Company and RTA shall periodically check pre-signed blank stationery by physical verification, at least on a half yearly basis. RTA shall prepare a reconciliation report of the same containing details of deviations, if any, along with the reasons for deviations. The Company Secretary shall check and analyse the reasons for deviations in the reconciliation report and take steps to rectify the same and should bring the deviations, if any, to the notice of the Chairman of the Company along with reasons for the same and shall also be placed before the Stakeholders Relationship Committee.
- g) The said reconciliation report shall be maintained by RTA and the Company in accordance with the provisions of the above stated SEBI Circular.
- h) The Company Secretary shall monitor the activities of RTA to ensure compliance of the aforesaid SEBI circular w.r.t. the areas specified therein, including transfer/transmission of securities and related matters, payment of dividend/interest/redemption, as the case may be, internal audit of RTA, etc. In case of any lapse/deviation therein, the same shall be rectified forthwith and brought to the attention of the Chairman of the Company and also the Stakeholders Relationship Committee, together with action taken for rectification and the final outcome thereof.

## **VII. RECONCILIATION**

RTA and the Company shall periodically check the stationeries by physical verification and prepare a reconciliation report, which shall be maintained by the RTA and also by the Company.

## **VIII. COPY OF CIRCULAR**

Copy of the SEBI Circular No. SEBI/HO/MIRSD/DOP1/CIR/P/2018/73 dated April 20, 2018 is attached with the Policy.

## **IX. MODIFICATION OF THIS POLICY**

The Company Secretary of the Company shall make necessary amendments in the Policy, as may be required from time to time, to include any amendment in the provisions of law relating to matters covered in the Policy.