

ION EXCHANGE (INDIA) LIMITED

**POLICY FOR PRESERVATION OF DOCUMENTS**

**EFFECTIVE FROM DECEMBER 1, 2015**

### **Objective**

The objective of this Policy is to lay down the principles for the preservation of documents and records of the Company.

### **Regulatory Framework**

The Securities and Exchange Board of India has on September 2, 2015 notified the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“SEBI Regulations”) which shall come into effect on December 1, 2015.

Regulation 9 of the SEBI Regulations requires listed entities to have a Policy on Preservation of documents approved by its Board of Directors, classifying the documents in at-least two categories, which are as follows:

- Documents whose preservation shall be permanent in nature; and
- Documents with preservation period of not less than eight years after completion of the relevant transactions.

Accordingly, this policy is framed as per the requirements of the SEBI Regulations.

### **Definitions**

“Company” shall mean Ion Exchange (India) Limited.

“Documents” or “Records” mean a piece of written, printed, or electronic matter that provides information or evidence or that serves as an official record of the Company.

“Preservation” or “preserve” means maintenance of documents and records (whether physical or electronic) in usable form and in good order, to prevent from being damaged or destroyed or tampered with.

“Policy” shall mean the Policy on Preservation of documents and records.

“SEBI Regulations” shall mean the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 together with the circulars issued thereunder, including any statutory modifications or re-enactments thereof for the time being in force.

### **Policy on Preservation of Documents & Records**

#### **Policy**

The Company shall preserve all its records as per the requirements and provisions of the Companies Act, 2013 and the Rules made thereunder, the Secretarial Standards, the Listing Agreement and the SEBI Regulations and any all other applicable law, rules, regulations, internal policies of the Company, in force.

All the documents and records stated in **Annexure A** to this Policy shall be preserved permanently by the Company.

All the documents and records stated in **Annexure B** to this policy shall be preserved for not less than 8 years after completion of the relevant transaction or as maybe prescribed by the board.

The Company shall adhere to the applicable provisions of law/ rules/ regulations with regard to the manner of maintenance of records.

**General**

The Policy would be subject to revision/ amendment in accordance with the applicable laws. The Company reserves its rights to alter, modify, add, delete or amend any of the provisions of this policy.

In case of any amendment(s), clarification(s), circular(s) etc. issued by the relevant authorities, not being consistent with the provisions laid down under this Policy, then such amendment(s), clarification(s), circular(s) etc. shall prevail upon the provisions hereunder and this Policy shall stand amended accordingly from the effective date as laid down under such amendment(s), clarification(s), circular(s) etc.

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**ANNEXURE A**

1. The memorandum and articles of the company
2. Documents relating to incorporation of the Company Register of members
3. Books and Documents relating to the issue of share certificates.
4. Register of Charges
5. Register under section 186 of the Act, 2013 for Loans/investment/ guarantees or securities provided
6. Register under section 187 (Investment held in any other person)
7. Register under section 189 (Register on contracts / arrangements in which directors are interested as per section 184 / 188 of the act
8. Minutes book of Board / Committee / General meeting, resolutions passed by postal ballot, resolutions passed by circulations.
9. Licenses, approvals, permissions, deed of indentures, IPR's certificates or any other document which the Managing Director thinks expedient to preserve.

**ANNEXURE B**

1. Copies of all Annual Returns prepared under Section 92 of the Companies Act, 2013 and copies of all certificates and Documents required to be annexed thereto.
2. Register of renewed and duplicate share Certificate.
3. All notices pertaining to disclosure of interest of directors.
4. All share certificates surrendered to a company.
5. Register of deposits.
6. Instrument creating a charge or modification.
7. Attendance Register for Board meetings/ Committee meetings/ General Meetings.
8. Office copies of General Meeting Notices, scrutinizer's report, and related papers.
9. Office copies of Board Meeting Notices, Agenda, notes on agenda and other related papers.
10. Disclosures prescribed under SEBI (LODR) Regulations, SEBI (PIT) Regulations, SEBI(SAST) Regulations.
11. Dividend payment records.
12. Books of Accounts.
13. Annual Reports.
14. Documents of Human Resource department as per relevant applicable law.