



Bothra Metals & Alloys Ltd.

A House of Metals

Policy for Preservation of Documents and Archival of Documents

- **Introduction**

This policy is primarily framed based on Regulation 9 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 (hereinafter referred to as “Listing Regulations”) and related applicable provisions as mentioned in the Companies Act, 2013. Archival Policy as referred to in Regulation 30 (8) of the Listing Regulations forms part of this Policy. This policy is intended to ensure compliance, particularly with the Listing Regulations and the applicable provisions of the Companies Act, 2013.

- **Purpose of the policy**

Regulation 9 of the Listing Regulations mandates that a listed entity shall have a policy for the preservation of documents, approved by its board of directors, classifying them into at least two categories as follows:

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

Provided that the Company may keep documents specified in clauses (a) and (b) in electronic mode.

Further Regulation 30 (8) of the Listing Regulations also refers to an archival policy as per which all events or information which has been disclosed to stock exchange(s) under Regulation 30 shall be hosted on the website of the Company for a minimum period of five years and thereafter as per the archival policy of the company, as disclosed on its website.

Besides the above, as per applicable provisions of the Companies Act, 2013 certain documents must be preserved permanently or up to a certain prescribed time. Accordingly, this policy has been framed keeping in view particularly the requirements of Listing Regulations and the provisions of the Companies Act, 2013.

- **Policies**

Preservation of documents with specific reference to the Companies Act, 2013, and SEBI (listing obligations and disclosure requirements) regulations, 2015

- Documents whose preservation shall be permanent in nature: All those documents which are required to be preserved permanently in accordance with the provisions of applicable Acts, Rules, Regulations, Guidelines, Circulars, Notifications, etc. as may be applicable to the Company from time to time shall be preserved permanently. Details of documents whose preservation shall be permanent in nature are listed in Annexure–A.
- Documents with a preservation period of not less than eight years: All those documents which are required to be preserved in accordance with the provisions of applicable Acts, Rules, Regulations, Guidelines, Circulars, Notifications, etc. for a period of not less than eight years shall be preserved accordingly. Details of documents with a preservation period of not less than eight years are listed in Annexure–B.
- Documents with a preservation period other than those mentioned in (2) above All those documents which are required to be preserved in accordance with the provisions of applicable Acts, Rules, Regulations, Guidelines, Circulars, Notifications, etc. for a preservation period of other than those mentioned in 1 & 2 above shall be preserved accordingly.

- **Principle of responsibility of employees for the preservation of documents**

All the Employees on the permanent rolls of the Company are responsible for taking into account the potential impacts on the preservation of the documents in their work area and their decision to retain/preserve or destroy documents pertaining to their area.

- **Suspension record disposal in the event of litigation or claims**

In case the Company is served with any notice for the request of documents or any employee becomes aware of a governmental investigation or audit concerning the Company or commencement of any litigation against the Company, any further disposal of documents connected with the matter shall be suspended until such time the investigation/litigation ends.

- **Statutory requirements**

If as per any other law of land, a physical or electronic record should be preserved for a longer period than what has been stipulated in this policy, then the document shall be preserved as per the applicable statutory stipulations.

- **Periodical review of the policy**

The Board of Directors of the Company is authorized to periodically review the policy and make such changes as considered necessary from time to time.

- **Annexure – A**

Documents / Records whose preservation shall be permanent in nature

1. Certificate of incorporation
2. Memorandum and Articles of Association
3. Certificate of Commencement of Business
4. Agreements made by the Company with Stock Exchanges, Depositories, etc.
5. Minute Books of General Meetings, Board and Committee Meetings as per Companies Act, 2013
6. Register and Index of Members, debenture-holders, if any, or other security holders, if any
7. Register of Contracts, if any, as per Companies Act, 2013
8. Register of Charges, if any, as per Companies Act, 2013
9. Register of Investments, if any, as per Companies Act, 2013
10. Files relating to premises viz. Title Deeds/Lease Deeds of owned premises/land and building, etc., and related Ledger / Register
11. Authorization/licenses, if any, obtained from any statutory authority
12. The policies of the Company are framed under various regulations
13. Certificates obtained from various statutory authorities
14. Such other records as may be required under any law from time to time

- Annexure - B

Documents / Records to be preserved for a minimum period of eight years

1. The instrument creating charge or modification (from the date of satisfaction of charge), if any, as per the Companies Act, 2013
2. Annual Returns as per Companies Act, 2013
3. Register of Deposits, if any, as per the Companies Act, 2013
4. Register of Allotment (from the date of each allotment) as per Companies Act, 2013
5. Annual financial statements including: - Annual accounts - Directors report - Auditors report
6. Books of accounts including Vouchers / Voucher register as defined under the Companies Act, 2013
7. Income Tax Returns filed under the Income Tax Act, of 1961
8. All notices in form MBP-I received from Directors and KMPs along with any amendment thereto
9. Return of declaration in respect of a beneficial interest in any share as per Companies Act, 2013
10. Copy of newspaper advertisements or publications
11. Compliance Reports received from any statutory authority
12. The postal ballot and all other papers or registers relating to postal ballot including voting by electronic means
13. Disclosure/Return filed under SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015
14. Records, if any, relating to Court Cases/Civil Suits/Arbitration Cases.
15. Register of Inter Corporate Loans and Investments, if any, as per the Companies, 2013
16. Forms and Returns filed with MCA/RBI or with any other statutory Authority.



Bothra Metals & Alloys Ltd.

A House of Metals

CIN: L27100MH200IPLCI33926

+91-22-49785309 | info@bothrametals.com | www.bothrametals.com

Registered Address: Office No. 15, 3rd Floor, 5 Bothra House, Assembly Lane, Dadi Seth Agyari Lane, Kalbadevi, Mumbai - 400002, Maharashtra, Bharat

