



**CHARTERED CAPITAL AND INVESTMENT
LIMITED**

**POLICY ON PRESERVATION
OF DOCUMENTS**

POLICY ON PRESERVATION OF DOCUMENTS / ARCHIVAL POLICY

PREAMBLE

Regulation 9 of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 [**“Regulations”**] requires every listed company to have a policy on Preservation of Documents / records maintained by the Company either in Physical Mode or Electronic Mode.

SCOPE

This policy shall govern the maintenance and preservation of documents as per applicable statutory and regulatory requirements.

DEFINITIONS

“Company”

Company shall mean **“Chartered Capital and Investments Limited”**

“Documents”

Documents shall mean all papers, records, files, books, tapes, CDs, DVDs, electronic storage devices etc., and the like as required to be maintained under any law or regulation for the time being in force.

“Electronic mode”

With reference to information means any information generated, sent, received or stored in media, magnetic, optical, computer memory, micro film, computer generated micro fiche or similar device.

OBJECTIVE

This policy sets the standards for managing, storing and preservation of documents of the Company broadly classified in the following three categories:

- (a) The documents of a permanent nature (**listed in Category 1**) shall be maintained and preserved permanently by the Company subject to the modifications, amendments, additions, deletions or any changes made therein from time to time.

Provided that all such modifications, amendments, additions, deletions in the documents shall also be preserved permanently by the Company.

Provided further that the Company may keep the documents as specified above in an electronic mode.

- (b) The documents to be maintained and preserved for a specified time period after completion of the relevant transactions (**listed in Category 2**) shall be preserved by the Company for the term not less than eight years after completion of the relevant transactions subject to the modifications, amendments, additions, deletions or any changes made therein from time to time.

Provided that all such modifications, amendments, additions or deletions in the documents shall also be preserved for a term not less than eight years.

Provided further that the Company may keep the documents as specified above in an electronic mode.

- (c) Other documents to be maintained and preserved for a specified time period, which may be less than eight years also, as per the requirements of the various applicable statutes and regulations after completion of the relevant transactions **(listed in Category 3)** shall be preserved by the Company for such term which may be less than eight years after completion of the relevant transactions subject to the modifications, amendments, additions, deletions or any changes made therein from time to time.

Provided further that the Company may keep the documents as specified above in an electronic mode.

ROLES & RESPONSIBILITIES

The respective Departmental Heads of the Company shall be responsible for maintenance, preservation and destroying of documents in respect of the areas of operations falling under the charge of each of them, in terms of this policy.

GENERAL

Notwithstanding anything contained in this policy, the Company shall ensure compliance with any additional requirements as may be prescribed under any laws/regulations either existing or arising out of any amendment to such laws/regulations or otherwise and applicable to the Company, from time to time.

DESTRUCTION OF DOCUMENTS

After the expiry of the statutory retention period, the preserved documents may be destroyed in such mode under any instructions approved by the department head(s). Destruction of documents as a normal administrative practice will also be followed for the records which are duplicate/unimportant/irrelevant.

This applies to both Physical and Electronic Documents.

DISSEMINATION OF THE POLICY

A copy of this policy shall be posted on the website of the company.

AMENDMENTS

The Board may subject to the applicable laws review, amend any provision(s) or substitute any of the provision(s) with the new provision(s) or replace this policy entirely with a new policy. However, no such change, amendment or modification shall be inconsistent with the applicable provisions of any law for the time being in force.

CATEGORY 1

DOCUMENTS WHICH SHALL BE PRESERVED PERMANENTLY

The following documents shall be maintained and preserved permanently by the Company. All modifications, amendments, additions, deletions to the said documents shall also be preserved permanently by the Company.

1. Minutes of the Board Meetings and Board Committees.
2. Minutes of General Meetings (including AGMs).
3. License and Permissions.
4. Any other document, certificates, statutory registers that may be required to preserved permanently in terms the Companies Act, 2013 and/ or SEBI Regulations.

CATEGORY 2

DOCUMENTS WHICH SHALL BE PRESERVED FOR A TERM NOT LESS THAN EIGHT YEARS

The following documents shall be maintained and preserved for a term not less than eight years after completion of the relevant transactions. All modifications, amendments, additions, deletions to the said documents shall also be preserved for a term not less than eight years.

1. Documents/Information furnished to Stock Exchanges including information submitted in compliance of SEBI (LODR) Regulations, as amended from time to time, shall be preserved for a minimum period of eight years from the end of the financial year in which the documents/information is furnished.
2. Documents/Information submitted to Registrar of Companies in compliance with the Companies Act, 2013 & Rules thereunder shall be preserved for a minimum period of eight years from the end of the financial year in which the documents/information is submitted.
3. Annual Reports of the Company.
4. Books of Accounts of the Company.
5. Annual Returns (copies of all certificates and documents required to be annexed thereto) as per Companies Act, 2013.
6. Any other document, certificates, statutory registers which may be required to be maintained and preserved for not less than eight years after completion of the relevant transaction under the Companies Act, 2013 and/or SEBI Regulations.
7. Office Copies of Notices, Scrutinizer's Report and related papers regarding General Meetings (including AGM) shall be preserved for as long as they remain current or for eight financial years, whichever is later and may be destroyed thereafter with the approval of the Board of Directors.

CATEGORY 3

DOCUMENTS WHICH SHALL BE PRESERVED FOR A TERM WHICH MAY BE LESS THAN EIGHT YEARS

The following documents shall be maintained and preserved for a specified time period, which may be less than eight years also, as per the requirements of the various applicable statutes and regulations after completion of the relevant transactions **(listed in Category 3)** shall be preserved by the Company for a term as specified hereunder which may be less than eight years:

1. A copy of all documents relating to Board/committee meetings including meeting agenda and presentations provided to the Board of Directors or Committees of the Board shall be maintained for a period of one (1) year.
2. Employee/Personnel documents relating to recruitment, employment and personal information. These documents shall be retained for a period of one (1) year following the expiry/cessation/termination of employment. Such documents which are statutory in nature shall be maintained as required under the relevant statute.
3. Contractual documents shall be retained for at least one (1) year following the expiry or termination of the contracts.
4. Statutory Registers and other documents pursuant to various Statutes and Regulations applicable to the company from time to time shall be retained as per requirements of the said Statutes and Regulations.