



LOHIA SECURITIES LTD.

- MEMBER : NSE, BSE, MCX-SX, CSE
- DEPOSITORY PARTICIPANT : NSDL, CDSL



Regd. Office : 4, Biplabi Trailokya Maharaj Sarani, (Brabourne Road), 5th Floor, Kolkata - 700 001
Phone : +91 4002 6600 / 6700, Fax : +91-4002 6800 Website : www.lohiasecurities.com
Email : info@lohiasecurities.com Complaint : grievance@lohiasecurities.com

CIN No. L67120WB1995PLC067195

May 15, 2017

The Secretary
The Calcutta Stock Exchange Ltd.
7, Lyons Range
Kolkata- 700 001

Dear Sir,

Sub: Submission of Copy of Intimation to the shareholders and Newspaper advertisement in respect of Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016

In terms of Regulation 30(4) of the SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015 we hereby forward a copy of the Intimation to the shareholders and to be published in newspaper on May 13, 2017 in respect of Rule 6 of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016.

Kindly take the above on record.

Thanking you,

Yours faithfully,
For Lohia Securities Limited

Narendra Kumar Rai
Company Secretary

Encl: As stated above

— Institutional Dealing Office : —

1602-B, Lady Ratan Tower, 72, Dainik Shivner Marg, Gandhinagar, Worli, Mumbai - 400 018
Phone : +91 22 2261 0552/0562, 2492 4449/4462, 2490 1308, Fax : +91 22 2490 1310



LOHIA SECURITIES LIMITED

CIN :L67120WB1995PLC067195

4 BIPLABI TRAILOKYA MAHARAJ SARANI (BRABOURNE ROAD), 5TH FLOOR, KOLKATA
700 001

Telephone Nos. 033-4002 6600, 4002 6700 Fax: 033-4002 6800

Mail ID narendra.rai@lohiasecurities.com, Website: www.lohiasecurities.com

IMPORTANT & URGENT NOTICE FOR YOUR IMMEDIATE ACTION

SRL NO:

Date : 12/05/2017

To,

Folio No

No. of shares:

Dear Shareholder,

Sub: Compulsory transfer of Equity Shares of the Company to the Investor Education and Protection Fund (IEPF) Suspense Account

As you are aware, dividend declared by the Company is remitted either electronically or by sending dividend warrants to the registered address of the eligible share holders.

As per Section 124(5) of the Companies Act, 2013, all unpaid or unclaimed dividends for a period of seven years are required to be transferred by the Company to the Investor Education and Protection Fund (IEPF) established by the Central Government.

We regularly upload on our website as also on the website of the Ministry of Corporate Affairs, Government of India, full details of such unpaid or unclaimed dividends before transferring to IEPF.

Further, Section 124(6) requires that all shares in respect of which unpaid or unclaimed dividend has been transferred to IEPF, shall also be transferred to IEPF.

Ministry of Corporate Affairs has recently notified Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 which have come into force from September 7, 2016. The said Rules, amongst other matters, contain provisions for transfer of all shares in respect of which dividend has not been paid or claimed for seven consecutive years or more, in the name of IEPF Suspense Account of Lohia Securities Limited



ACTION REQUIRED FROM YOU

You are requested to immediately claim your unpaid dividends and avoid the transfer of your shares to IEPF by sending following documents to us at the address mentioned in this letter, on or before 31st May, 2017.

- Enclosed Letter of Undertaking duly filled and signed
- Self-attested copy of Pan Card and Address Proof
- Copy of Cancelled Cheque

As per the above mentioned rules shares held in physical form are liable to be transferred to IEPF Suspense Account, by issuing duplicate share certificates and upon issue of such duplicate share certificates, the original share certificate(s) which stand registered in your name will be deemed cancelled and non-negotiable.

In case shares are held in demat form and are liable to be transferred to IEPF Suspense Account, the Company will give Delivery Instruction Slip to the Depository for transfer of shares to IEPF.

However, you can claim from IEPF Authority both unclaimed dividend amount and the shares transferred to IEPF Suspense Account by making an application in Form IEPF-5 online and send the physical copy of the same duly signed (as per registered specimen signature) along with requisite documents enumerated in the said Form IEPF-5 to the Company at its Registered Office or to Niche Technologies Pvt. Ltd., RTA of the Company for verification of your claim. We shall send a verification report to IEPF Authority for refund of the unclaimed dividend amount and transfer of the shares back to the credit of the shareholder. As per the above mentioned rules, only one such request can be made in one year.

In case we do not hear anything from you on this intimation letter by 31st May, 2017, we shall, with a view to complying with the requirements of the said Rules, transfer the shares to IEPF Suspense Account by the due date as per procedure stipulated in the Rules, without any further notice. Please note that no claim shall lie against the Company in respect of unclaimed dividend amount and shares transferred to IEPF Authority pursuant to the said Rules.

The IEPF Rules and the application form (Form IEPF-5), as prescribed by the Ministry of Corporate Affairs on the website of the Ministry of Corporate Affairs at www.iepf.gov.in.

Please feel free to contact us in case you have any queries at the address mentioned above.

Thanking you,

Yours faithfully,
For Lohia Securities Ltd.
Sd/-
Narendra Kumar Rai
Company Secretary



SRL NO:

LETTER OF UNDERTAKING

TO,

Reference: Folio No. DPID / CLID:

I/We hereby confirm that I/we have not encashed, negotiated or otherwise dealt in some of the dividend paid by the Company in last seven years, so as to create any adverse claim upon the amount of the dividend warrant(s).

In consideration of your issuing to me/us all Demand Draft(s)/Pay Order(s) in lieu of the Dividend Warrant(s) lying unclaimed/ unpaid in my/our name(s) and which are irretrievable/lost or misplaced or crediting the amounts directly to my bank account as mentioned below, I/we hereby agree and undertake to hold you harmless and to keep you protected from /against all losses, costs or damages which you may sustain or incur by reason of your issuing Demand Draft(s)/ Pay Order(s) or by the original Dividend Warrant(s) being, at anytime, found and presented for payment by any person or persons claiming to be the holder(s) of the Dividend Warrant(s) or in any way interested therein.

I/We further agree and undertake to return to you the original Dividend Warrants, should it be found by me/us or again come into my/our possession at any time here after.

Name	Signature
First Holder:	
Joint Holder1:	
Joint Holder2:	
Address of First Holder:	



SRL NO:

Bank Account Details: (for electronic credit of unpaid dividends)

Name of the Bank

Name of the Branch

Account Number (as appearing in your cheque book)

Account Type Saving Current Others

9 Digit MICR Number (as appearing on the
MICR Cheque issued by the Bank)

Please enclose a photocopy of a Cheque for verification

11 Digit IFSC Code

Witness 1:

Name :

Address :

Witness 2:

Name :

Address :

Signature:

Signature:

Dated:

Warrant No. Dividend for the year Dividend Amount (Rs)

Note: For the undertaking to be considered complete, please ensure the name, address and bank details of first holder and joint holder(s), as applicable, are filled correctly and it is duly signed by all the holders and two witnesses.

Please Note: This is a computer generated letter, no Signature Required



LOHIA SECURITIES LTD.

CIN: L67120WB1995PLC067195

Registered Office: 4 Biplabi Trailokya Maharaj Sarani (Brabourne Road), 5th floor, Kolkata 700 001

Tel: 91-33 4002 6600/ 6700, Fax: 033 4002 6800

Email: narendra.rai@lohiasecurities.com , Website: www.lohiasecurities.com

TRANSFER OF EQUITY SHARES TO THE INVESTOR EDUCATION AND PROTECTION FUND

Members are hereby informed that in terms of Section 124(6) of the Companies Act, 2013, recently notified by the Ministry of Company Affairs, Government of India (MCA), Equity Shares of the Company, in respect of which dividend entitlements have remained unclaimed or unpaid for seven consecutive years or more, are required to be transferred by the Company to the Investor Education and Protection Fund (IEPF) of the Government of India.

Unclaimed or unpaid dividend up to the year ended 31st March, 2009 has been transferred by the Company to the IEPF within the statutory time period and such dividend from the year ended 31st March, 2010 is presently lying with the Company.

In terms of the IEPF Authority (Accounting, Audit, Transfer and Refund) Rules, 2016, the concerned Members are being provided an opportunity to claim dividend for the year ended 31st March, 2010 and onwards by sending a letter under their signature so as to reach us at the address mentioned above by 31st May, 2017.

The details of the concerned Members and the shares for transfer to the IEPF are available on the Company's website www.lohiasecurities.com under the section "About Us> Investor Information>Transfer of shares to IEPF". In the event valid claims are not received by the Company by that date, the Company shall be compelled to transfer the shares to IEPF, as aforesaid, without further notice pursuant to the said Rules. Once these shares are transferred to the IEPF by the Company, such shares may be claimed by the concerned Members only from the IEPF Authority by following the procedures prescribed under the aforementioned Rules.

Individual letters in this regard have been sent to the concerned Members at their address registered with the Company. Clarification on this matter if required may be sought from the Company by sending email at narendra.rai@lohiasecurities.com or by calling at telephone nos. mentioned above. This Notice is published pursuant to the provisions of the IEPF Authority (Accounting, Audit, Transfer and Refund) Rules, 2016.

For Lohia Securities Limited

Sd/-Sudheer Kumar Jain, Director

Kolkata, 12th May, 2017