



## Policy for Preservation of Documents

(Pursuant to Regulation 9 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015)

**Effective 6<sup>th</sup> November, 2023 as approved by the Board of Directors on 6<sup>th</sup> November, 2023**

### **1. PREFACE**

Pursuant to the requirement of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("Listing Regulations"), every listed company's Board of Directors need to approve the Policy for Preservation of Documents.

In accordance with the above requirement, the Board of Directors (the "Board") of **AMBEY LABORATORIES LIMITED** (the "Company") has adopted this Policy and Procedures with regard to preservation of documents.

### **2. OBJECTIVE**

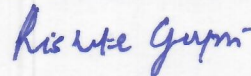
1. This Policy is framed in accordance with the requirement under Regulation 9 of the Security Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations 2015 (hereinafter referred as "Listing Regulations").

2. The purpose of this Policy is to ensure that all necessary documents and records of the Company are adequately protected and preserved as per statutory requirements of applicable laws, and to ensure that the records of the Company which are no longer needed or are of no value are discarded after following the due process for discarding the same. This Policy is also for the purpose of aiding employees of the Company in understanding their obligations in retaining and preserving documents and records which are required to be maintained as per applicable statutory and regulatory requirements.

For AMBEY LABORATORIES LIMITED

 Director

For AMBEY LABORATORIES LIMITED

 Director

## **AMBEY LABORATORIES LIMITED**

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### 3. SCOPE

This policy shall govern the procedure of preservation of all documents and records maintained by the Company in physical form or electronically as required to be maintained under statutory and regulatory requirements viz., the Companies Act 2013, and rules issued thereunder, the secretarial standards, and any other applicable regulations under the Security Exchange Board of India Act 1992 and amendments thereto (hereinafter referred as "Act/Regulations") and various other statutes as applicable on the Company from time to time.

### 4. DEFINITIONS:-

In this Policy, unless the context otherwise requires:

**"AUDIT COMMITTEE OR COMMITTEE"** means the audit committee of board of directors of the Company in accordance with the provisions of the Companies Act, 2013 and the rules made thereunder read with the SEBI LODR Regulations.

**"BOARD OF DIRECTORS" OR "BOARD"** in relation to the Company, means the collective Body of Directors of the Company (including a committee of directors of the Company duly authorized by the Board).

**"BOOKS OF ACCOUNTS"** shall have same meaning as defined in the Act.

**"CURRENT"** means of ongoing relevance, with reference to any ongoing litigation, proceedings, complaint, dispute, contract or any like matter.

**"COMPANY"** means **"AMBEY LABORATORIES LIMITED**, a company constituted under the provisions of Companies Act, 2013.

**"DOCUMENTS"** refers to papers, books, notes, forms, files, registers, agreements, notice, disclosure, advertisement, requisition, orders, declaration, forms, correspondence, minutes, indices, mails, audio/video recordings and or any other record, required to be maintained under applicable laws, either on physical or in electronic form.

**"ELECTRONIC FORM"** means any data stored in any contemporaneous electronic device such as computer, laptop, compact disc, floppy disc, space on electronic cloud, or any other form of storage and retrieval device, considered feasible, whether the same is in possession or control of the Company or otherwise the Company has control over access to it.

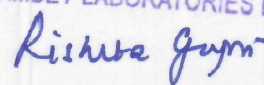
**"FUNCTIONAL HEAD"** means respective Management Council member or any other person identified by him/her in writing.

**"MAINTENANCE"** means keeping documents, either physically or in electronic form as may be permitted under Act / Regulations for the time being in force including authentication and custody of such documents.

For AMBEY LABORATORIES LIMITED

 Director

For AMBEY LABORATORIES LIMITED

 Director

**"POLICY"** means this Policy for Preservation of Documents as may be amended or supplemented from time to time.

**"PRESERVATION"** means to keep in good order and to prevent from being altered, damaged or destroyed.

**"RECORDS"** means any statutory registers, index, memorandum & articles of associations, minutes or any other document required by the Act or the rules made thereunder.

**"SEBI LODR REGULATIONS"** means the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) regulations, 2015, as amended.

## 5. POLICY

Risk Management Committee shall be constituted by the Board, as and when required under the applicable law, consisting of such number of directors (executive or non-executive or independent directors) and such officials other key managerial personnels or of the Company as the Board thinks fit.

The Board shall define the roles and responsibilities of the Risk Management Committee and may delegate monitoring and reviewing of the risk management plan to the Committee along with such other functions as it may deem fit.

## 6. MODE OF PRESERVATION

1. The Documents may be preserved in:

1.1 Physical Form or

1.2 Electronic Form

2. The physical Documents preserved may be converted, whenever required or felt necessary, into Electronic Form and vice versa, with written approval of the respective Functional Head to ensure ease in maintenance of records and efficient utilization of space.

3. The preservation of Documents should be such as to ensure that there is no tampering, alteration, destruction or anything which endangers the content, authenticity, utility or accessibility of the Documents.

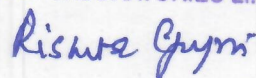
4. An external agency can be used for the purpose of preserving Documents.

5. The preserved Documents shall be accessible at all reasonable times. Access may be controlled by the respective Functional Head, so as to ensure integrity of the Documents and prohibit unauthorized access.

For AMBEY LABORATORIES LIMITED

  
Director

For AMBEY LABORATORIES LIMITED

  
Director

## **7. DESTRUCTION OF DOCUMENTS**

Records which no longer serve a useful purpose should be destroyed with the written approval of the respective Functional Head. Destruction as a normal administrative practice, can be usually carried out if Documents are duplicated, unimportant or for short term use only.

The modes of destruction of records can include methods like shredding, pulping, recycling etc. or any other mode for electronic records, such that it leaves no possibility for reconstruction of the records and information contained therein.

## **8. RESPONSIBILITY**

The respective Functional Heads shall be responsible to maintain the records and authorised to destroy the record by following this policy

## **9. AMENDMENT**

The Board shall have the power to amend any of the provisions of this Policy, substitute any of the provisions with a new provision or replace this Policy entirely with a new Policy.

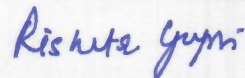
Further, the Company Secretary and Chief Financial Officer are jointly authorized to amend the Policy to give effect to any changes / amendments notified by Ministry of Corporate Affairs or SEBI.

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For AMBEY LABORATORIES LIMITED

 Director

For AMBEY LABORATORIES LIMITED

 Director

## ANNEXURE

### Indicative list of Documents whose preservation shall be permanent in nature


- Certificate of Incorporation
- Memorandum and Articles of Association
- Documents filed for incorporation
- Register of Renewed and Duplicate Share Certificate
- Register of Charges
- Register of Members and Record of Beneficial Owners
- Register of Loans and Investments
- Register of investment not held in its own name by the Company
- Register of Contract or arrangement in which director are interested
- Minutes of Board or Committee Meetings and resolution passed by circulations
- Minutes of the General Meetings of class of shareholders / creditors or resolutions passed by way of postal ballots
- Books and documents relating to the issue of share certificates including blank forms of share certificates
- License, documents, approvals etc. received from any government or regulatory authority
- Title deeds of properties
- Intellectual property documents
- Orders, Judgments of court or any adjudicating authority
- Documents under Company's employee share-based incentive schemes.

### Indicative list of Documents to be preserved for not less than 8 years after completion of the relevant transaction(s)

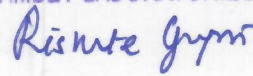
Books of accounts and tax records viz. documents concerning tax assessment, tax filings, tax returns, proof of deductions, appeal preferred against any claim made by the relevant tax authorities, shall be maintained for a period of 8 (eight) years from end of the relevant assessment year or till the disposal of the appeal against any demand by the highest authority, whichever is later.

- The instrument creating a charge or modification
- Notice of interest by Directors and KMP
- Register of Deposit
- Register of debenture holders or any other security holder along with index of name
- Annual Return and copies of all certificates and documents required to be annexed thereto as per Companies Act;
- Attendance registers, notices, scrutinizer's report, agenda, notes to agenda and other related papers of general meetings, board meetings and various committee meetings;
- Office copies of notices, agenda, scrutinizer's report, notes on agenda and other related papers of general meetings, board meetings and various committee meetings of the transferor company as handed over
- Structure Digital Database as per SEBI (Prohibition of Insider Trading) Regulations, 2015 after completion of the relevant transactions and in the event of receipt of any information from SEBI regarding any investigation or enforcement proceedings, the relevant information in the structured digital database shall be preserved till the completion of such proceedings.

For AMBEY LABORATORIES LIMITED

  
Director

For AMBEY LABORATORIES LIMITED

  
Director

**Indicative list of Documents to be preserved for less than 8 years after completion of the relevant transaction(s)**

- Information collected at time of resignation of Designated person, including updated address and contact details in lines with SEBI (Prohibition of Insider Trading) Regulations, 2015 for a minimum period of five years.
- Disclosures made under Regulation 7 of SEBI (Prohibition of Insider Trading) Regulations, 2015 for a minimum period of 5 years.
- All certificates surrendered to a company shall immediately be defaced by stamping or printing the word "cancelled" in bold letters to be kept for atleast 3 years.
- Tape recording(s) or other electronic recording mechanism used for Board/committees/shareholders meetings held through video - conferencing or audio - visual means atleast upto the time of completion of audit of that particular year.
- Save as otherwise stated in the Archival Policy, Documents, disclosures, newspaper advertisement or publications and press release under Listing Regulations
- All contracts, agreements, letters related to appointment of directors, managerial personnel's, auditors etc. and/ or such other statutory office as referred in Act/ Regulations.

For AMBEY LABORATORIES LIMITED

 Director

For AMBEY LABORATORIES LIMITED

*Rishita Gupta*

Director