# POSH Policy Share India Group

#### POLICY ON PREVENTION OF SEXUAL HARRESSMENT FOR SHARE INDIA SECURITIES LIMITED

The sexual harassment of women at workplace (prevention, prohibition and redressal) Act, 2013 ("the Act") is an act to provide protection against sexual harassment of women at workplace and for the prevention and redressal of complaints of sexual harassment and for matters connected therewith or incidental thereto.

We at "SHARE INDIA SECURITIES LIMITED" ("the Company") seeks to provide equal opportunity to work and creates a healthy working environment for all, regardless of race, caste, religion, color, ancestry, marital status, gender, sexual orientation, age, nationality, ethnic origin or disability, consistent with our values.

Although the Act seeks to provide protection to women at their workplaces, but we at Share India endeavors to come up with the Policy protect all of our employees against such acts regardless of their gender.

Our Company is therefore committed to create a safe and conducive work environment that enables all to work without fear of prejudice, gender bias and sexual harassment, where employer and employees respect each other's integrity and dignity, their privacy, their right to equality and right to opportunity in the workplace. Equality in employment can be seriously impaired when individuals are subjected to discrimination by way of sexual harassment at workplace. Sexual harassment at the workplace results in violation of the following fundamental rights of a person:

- Right to equality under Articles 14 and 15 of the Constitution.
- Right to life and to live with dignity under article 21 of the Constitution.
- Right to practice any profession or to carry on any occupation, trade or business under Article 19 (1) (g) of the Constitution.

This Policy extends to all employees of Share India Securities Limited and its group companies and any other company which may be incorporated in future with applicability of Share India's HR policies.

The policy is effective from 1st January, 2022 and supersedes all prior policies and communication on this matter.

#### 1. INTRODUCTION:

All employees are expected to uphold the highest standards of ethical conduct at the workplace and in all their interactions with business stakeholders. This means that employees have a responsibility to

- · Treat each other with dignity and respect
- · Follow the letter and spirit of law
- Refrain from any unwelcome behaviour that has sexual connotation (of sexual nature)
- · Refrain from creating hostile atmosphere at workplace via sexual harassment
- Report sexual harassment experienced and/or witnessed to appropriate authorities and abide by the complaint handling procedure of the company.

This policy has been framed in accordance with the provisions of "The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013" and rules framed thereunder (hereinafter "the Act"). Accordingly, while the policy covers all the key aspects of the Act, for any further clarification reference shall always be made to the Act and the provisions of the Act shall prevail. If any aspect relating to sexual harassment not explicitly covered in this policy is provided for by the law, then the law will be applicable. In case of any conflict between the policy and the law, the law shall prevail.

This policy ensures a safe work environment for all employees by setting guidelines and processes for prevention, prohibition and redressal of sexual harassment.

#### 2. SCOPE:

This Policy extends to all employees associated directly or indirectly with the Company and its Group Companies. It is deemed to be incorporated in the service conditions of all employees.

#### 3. **DEFINITIONS**:

- Complainant: Any aggrieved person who makes a complaint alleging sexual harassment under this policy.
- Respondent: A person against whom a complaint of sexual harassment has been made by the
  complainant under this policy.
- Employee: A person employed at the workplace, for any work on regular, temporary, ad-hoc or daily wage basis, either directly or through an agent, including a contractor, with or without the knowledge of the employer, whether for remuneration or not, or working on a voluntary basis or otherwise, whether the terms of employment are express or implied and includes a coworker, a contract worker, probationer, trainee, apprentice or called by any other such name.

- Employer: means any person responsible for the management, supervision and control of the
  workplace and includes the person discharging contractual obligations with respect to his or
  her employees.
  - Explanation —For the purposes of this sub-clause "management" includes the person or board or committee responsible for formulation and administration of polices for such organisation;
- **Sexual harassment**: "sexual harassment" includes any one or more of the following unwelcome acts or behavior (whether directly or by implication) namely:—
  - (i) Physical contact and advances; or
  - (ii) A demand or request for sexual favours; or
  - (iii) Making sexually coloured remarks; or
  - (iv) Showing pornography; or
  - (v) Any other unwelcome physical, verbal or non-verbal conduct of sexual nature:

#### Workplace:

This shall include all places where the work of the Company is carried out. It shall include:

- i. All offices or other premises where Company's business is conducted
- ii. All Company related activities performed at any other site away from Company's premises
- iii. Any social, business or other functions where the conduct or comments may have an adverse impact on the workplace or workplace relations
- iv. An alleged act of sexual harassment committed during or outside of office hours.
- v. Any sexual harassment on any social networking website during or outside of office hours.
- vi. Any place visited by the Employee arising out of or during the course of employment including transport services provided by the Company for undertaking such journey, guest houses of the Company
- **Special Educator:** A Special Educator means a person trained in communication with people with special needs in a way that addresses their individual differences and needs.

#### 4. PREVENTION OF SEXUAL HARASSMENT.—

- (1) No woman shall be subjected to sexual harassment at any workplace.
- (2) The following circumstances, among other circumstances, if it occurs, or is present in relation to or connected with any act or behavior of sexual harassment may amount to sexual harassment:—
- (i) implied or explicit promise of preferential treatment in her employment; or
- (ii) implied or explicit threat of detrimental treatment in her employment; or
- (iii) implied or explicit threat about her present or future employment status; or
- (iv) interference with her work or creating an intimidating or offensive or hostile work environment for her; or

(v) humiliating treatment likely to affect her health or safety.

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Where sexual harassment occurs as a result of an act or omission by any third party or outsider, the company shall take all steps necessary and reasonable to assist the affected person in terms of support and preventive action.

#### 5. INTERNAL COMMITTEE

- The Internal Committee ("the Committee") is constituted to prevent instances of sexual harassment and to receive and effectively deal with complaints pertaining to the same. Internal Committee have been appointed for all administrative units/offices of the company. The committee comprises of:
- a) Presiding Officer/Chairperson: A woman employed at a senior level in the organization or workplace.
- b) At least 2 members from amongst employees, committed to the cause of women or who have had experience of social work or have legal knowledge.
- c) One external member from amongst non-governmental organizations or associations committed to the cause of women or a person familiar with the issues relating to sexual harassment.
- d) At least one half of the total members nominated being women.
- The Presiding Officer and every Member of the Internal Committee shall hold office for such period, not exceeding three years, from the date of their nomination as may be specified by the employer.
- 3. The Member appointed from amongst Non-Government Organizations shall be entitles to an allowance as may be approved by the Internal Committee and the employer.
- 4. For the purpose of making an inquiry the Internal Committee shall have the same powers as are vested in a civil court the Code of Civil Procedure, 1908 when trying a suit in respect of the following matters, namely:—
  - (a) summoning and enforcing the attendance of any person and examining him on oath:
  - (b) requiring the discovery and production of documents; and
  - (c) any other matter which may be prescribed.
- The committee shall meet at such frequency as may be required for the purpose of handling complaints or awareness programs or any other event as the case maybe not less than once in a calendar year.

An attendance register shall be maintained to record the frequencies at which the committee meets and the attendance thereon.

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#### Removal of Committee Members

A member shall be removed / replaced in the event that the member:

- (a) contravenes the provisions of section 16 of the Act; or
- (b) has been convicted for an offence or an inquiry into an offence under any law for the time being in force is pending against him; or
- (c) he has been found quilty in any disciplinary proceedings or a disciplinary proceeding is pending against him; or
- (d) has so abused his position as to render his continuance in office prejudicial to the public interest,

Any vacancy created in the committee due to cessation of employment, resignation, death, disability or removal, as applicable, shall be filled by a fresh nomination by the Company in accordance with the guidelines laid down by the Company, and in conjunction with provision of the Law.

Details of the Composition of the internal complaint committee is attached as Annexure-01 to the policy.

#### 6. FILING OF COMPLIANT

1. The Complainant may make, in writing, a complaint of sexual harassment to the Presiding Officer/ Member of the Internal Committee within a period of 3 months from the date of incident/ last incident.

The Internal Committee can extend the timeline by another 3 months for reasons recorded in writing, if satisfied that those reasons prevented the lodging of the complaint within the said period.

Provided that where such a complaint cannot be made in writing, the Presiding Officer or any Member of the Internal Complaint Committee shall render all reasonable assistance to the complainant for making the complaint in writing.

- 2. At the time of filing of the compliant the complainant shall submit six copies of the compliant along with the supporting documents and the names & addresses of the witnesses.
- The internal compliant committee shall send one of the copies received from the complainant to the respondent within a period of seven working days either physically or through electronic means.

The Respondent shall file his reply to the complaint along with the list of documents, and names and addresses of witnesses (if any), within a period of 10 (ten) working days from the date of receipt of the documents.

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4. Where the complainant is not able to make a complaint on account of physical or mental incapacity or death or otherwise, a friend, co-worker, legal heir, an immediate family member, special educator or any other person who has knowledge of the incident may make a complaint.

The complaint shall be submitted by the complainant either physically to any member of the Internal Complaint Committee or electronically at <u>vikas\_cs@shareindia.com</u> as per the prescrived format marked as **Annexure – 2** to this policy.

#### 7. PROCEDURE FOR HANDLING COMPLAINTS:

#### 1. Procedure for Conciliation

- i. Prior to initiating an inquiry, the committee may, at the written request of the Complainant take steps to settle the matter between the Complainant and the Respondent through conciliation.
- ii. Monetary settlement cannot be made the basis of such conciliation.
- iii. In case a settlement has been arrived at, the committee shall record it and forward it to the Company to take action as specified in the recommendation of the committee.
- iv. The committee will also provide copies of the settlement as recorded to the Complainant and the Respondent.
- v. If conciliation has been reached, the committee will not be required to conduct any further inquiry.
- vi. If Complainant feels that the terms of Settlement are not being complied with by the Respondent or action has not been taken by the Company, Complainant can make a written complaint to the committee to conduct an inquiry into the complaint.

#### 2. Procedure for Inquiry

- 1. The committee will initiate inquiry in the following cases:
- · No conciliation is requested by the Complainant
- · Conciliation has not resulted in any settlement
- Complainant informs the committee that any term or condition of the settlement arrived through conciliation, has not been complied with by respondent.
- 2. All inquiry proceedings shall be documented in detail and treated as highly confidential with restricted viewing.
- 3. If the Complainant or the Respondent desires any witness(es) to be called, they shall communicate in writing to the Committee the names of witness(es) whom they propose to call.
- 4. The Committee shall provide every reasonable opportunity to the Complainant and the Respondent for putting forward and defending their respective case.
- 5. In conducting the inquiry, a minimum of three committee members including the Presiding Officer are to be present.

- The Committee is to make inquiry into the complaint in accordance with the principles of natural justice.
- 7. The complaints committee shall have the right to terminate the inquiry proceeding or to give an *ex-parte* decision on the complaint, if the complainant or the respondent fails, without sufficient cause, to present herself or himself for the three consecutive hearing convened by the chairperson or presiding officer, as the case may be:

Provided that such termination or the *ex-parte* order may not be passed without giving a notice in writing fifteen days in advance, to the complaints committee.

- 8. The parties shall not be allowed to bring in any legal practitioner to represent them in their case at any stage of the proceeding before the compliant committee.
- 9. The Employer shall provide all necessary assistance for the purpose of ensuring full, effective and speedy implementation of this policy.
- 10. In the event, the complaint does not fall under the purview of Sexual Harassment or the complaint does not mean an offence of Sexual Harassment, the same would be dropped after recording the reasons thereof.

The Committee is required to complete the inquiry within a minimum period of 30 (thirty) days but not exceeding 90 (ninety) days. In case the inquiry is not completed within maximum a period of 90 (ninety) days then reason for the delay in completion of inquiry must be given in the Annual Report.

#### 8. INTERIM RELIEF

During pendency of the inquiry, on a written request made by the complainant, the committee may recommend to the employer to:

- Transfer the complainant or the respondent to any other workplace.
- Grant leave to the aggrieved woman of maximum 3 months, in addition to the leave she would be otherwise entitled.
- Restrain the respondent from reporting on the work performance of the complainant or writing confidential report and assign the same to another officer.
- Grant such other relief as may be appropriate.

Once the recommendations of interim relief are implemented by the employer, the same is informed to the committee.

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#### 9. ACTION TO BE TAKEN AFTER INQUIRY

Post the inquiry; the committee shall submit its report containing the findings and recommendations to the Employer, within 10 days of completion of the inquiry.

#### Complaint unsubstantiated

Where the committee arrives at the conclusion that the allegation against the respondent has not been proved, it recommends to the employer that no action is required to be taken in this matter. Further, the committee ensures that both parties understand that the matter has been fully investigated, that the matter is now concluded, and neither will be disadvantaged within the Company.

#### Complaint substantiated

Where the committee arrives at the conclusion that the allegation against the respondent has been proved, it recommends to the employer to take necessary action for sexual harassment as misconduct, in accordance with the applicable service rules and policies, and this may include:

- i. Counseling
- ii. Censure or reprimand
- iii. Apology to be tendered by respondent
- iv. Written warning
- v. Withholding promotion and/or increments
- vi. Compensation
- vii. Suspension
- viii. Termination
- ix. Or any other action that the employer may deem fit.

The Company is required to act upon the recommendations within 60 days and confirm to the committee. Post implementation of the actions, follow up with the complainant should also occur to ascertain whether the behavior has in fact stopped, the solution is working satisfactorily and if no victimization of either party is occurring.

#### **Procedure for Determining Compensation**

Committee may consider various factors as required under the Act for the purpose of determining the sums to be paid to the Complainant and may take the following into consideration:

i. The mental trauma, pain, suffering and emotional distress caused to the Complainant.

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- ii. The loss in the career opportunity due to the incident of sexual harassment.
- iii. Medical expenses incurred by the victim for physical or psychiatric treatment.
- iv. The income and financial status of the Respondent.
- v. Feasibility of such payment in lump sum or in installments.

#### 10. PENAL CONSEQUENCES OF SEXUAL HARASSMENT

The Committee shall determine the penalty according the circumstances of each case.

In case the Committee finds the degree of offence coverable under the Indian Penal Code, then this fact shall be mentioned in its report and appropriate action shall be initiated by the employer, for making a Police Complaint.

Under the Indian Penal Code, (IPC) classifies Sexual Harassment as a 'cognizable offense' i.e. a person charged with Sexual Harassment may be arrested without a warrant. The person committing such act shall be punished with rigorous imprisonment for a term which may extend to three years, or with fine, or with both.

#### 11. MALICIOUS ALLEGATIONS

Where the committee arrives at the conclusion that the allegation against the respondent is malicious or the complainant or any other person making the complaint has made the complaint knowing it to be false or the complainant or any other person making the complaint has produced any forged or misleading document, it may recommend to the Employer to take action against the person making the complaint.

#### 12. CONFIDENTIALITY

The identity of the complainant, respondent, witnesses, statements and other evidence obtained in the course of inquiry process, recommendations of the committees, action taken by the Employer is considered as confidential materials, and is not be published or made known to public or media.

If any person Contravenes the above provision the employer shall recover a sum of Rs. 5,000/-(Rupees Five Thousands Only) as penalty from such person.

#### 13. PROTECTION AGAINST RETALIATION

There will be no retaliation against an employee who, in good faith, files a complaint or participates in any way in the investigation of a complaint. The organization will not allow retaliation against that person. Individuals engaging in retaliatory conduct will be subject to disciplinary action, which may include termination and if necessary legal action and/or a police complaint. If you suspect that you or someone you know has been retaliated against for raising an issue, immediately contact the internal committee of the company in this regard.

#### 14. APPEAL

In the event that any person is aggrieved from the recommendations made by the committee or non implementation of such recommendations, they may appeal to the court or tribunal, as specified by law, within a period of 90 (ninety) days of the recommendations.

#### 15. FILING OF COMPLAINT WITH POLICE

Nothing in these rules and procedures shall preclude anybody from simultaneously lodging a complaint with the police in respect of any act amounting to an offence under the law.

#### 16. ANNUAL REPORT

The committee shall in each calendar year prepare, is such form as may be prescribed, an annual report and submit the same to the Employer and the District Officer. The report shall have the following details:

- Number of complaints of Sexual harassment received in the year.
- Number of complaints disposed off during the year.
- Number of cases pending for more than 90 days.
- · Number of workshops or awareness program against Sexual Harassment carried out.
- Nature of action taken by the employer or District Officer.

#### 17. DUTIES OF THE EMPLOYER

The Employer shall:

- (a) provide a safe working environment at the workplace with shall include safety from the persons coming into contact at the workplace;
- (b) display at any conspicuous place in the workplace, the penal consequences of sexual harassments; and the order constituting, the Internal Committee under sub-section (1) of section 4;
- (c) organise workshops and awareness programmes at least once in a year for sensitising the employees with the provisions of the Act and orientation programmes for the members of the Internal Committee in the manner as may be prescribed;
- (d) provide necessary facilities to the Internal Committee, as the case may be, for dealing with the complaint and conducting an inquiry;
- (e) assist in securing the attendance of respondent and witnesses before the Internal Committee:
- (f) make available such information to the Internal Committee as it may require having regard to the complaint made under sub-section (1) of section 9 of the Act;
- (g) provide assistance to the Complainant if she so chooses to file a complaint in relation to the offence under the Indian Penal Code (45 of 1860) or any other law for the time being in force;

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- (h) cause to initiate action, under the Indian Penal Code (45 of 1860) or any other law for the time being in force, against the perpetrator, or if the complainant so desires, where the perpetrator is not an employee, in the workplace at which the incident of sexual harassment took place;
- (i) treat sexual harassment as a misconduct under the service rules and initiate action for such misconduct;
- (j) monitor the timely submission of reports by the Internal Committee.
- (k) Shall raise awareness about the prevention of sexual harassment through posters, calendars and other mediums.
- (1) It shall monitor the timely submission of reports by the committee.
- (m) It will offer counseling sessions to complainant, respondent or anyone impacted by incident of sexual harassment.

#### 18. RESPONSIBILITIES OF THE EMPLOYEES

- All Employees of the Company have a personal responsibility to ensure that their behavior is not contrary to this policy.
- All employees in the Company have shared responsibility of creating and sustaining a healthy work environment.
- iii. Do not ignore or allow an inappropriate behavior to continue regardless of who is creating that situation.
- iv. They should support during any inquiry of a complaint, including testifying as witness and giving full and truthful disclosure of all factual information when asked by the committee, while ensuring that complete confidentiality is maintained throughout. about any case of sexual harassment within the Company.
- v. They should set an example of dignified workplace behavior and ethical standards in line with Company's values and code of conduct.
- vi. They should be aware that Company will take allegations seriously and will ask their cooperation in an investigation if they bring a complaint forward.
- vii. They should handle information related to known or suspected violations of this Policy in a discreet and confidential manner and not attempt to investigate / inquire into the information or suspected violations of this Policy on their own i.e. without involving the committee.
- viii. They should report any inappropriate behavior by colleagues / guests / vendors to the Committee immediately.

#### 19. RESPONSIBILITIES OF THE COMMITTEE

- 1. Receiving complaints of sexual harassment at the workplace.
- 2. Initiating and conducting inquiry as per the established procedure and in a transparent manner.
- 3. Submitting findings and recommendations of inquiries.
- 4. Coordinating with the Employer in implementing appropriate action.
- 5. Maintaining strict confidentiality throughout the process as per established guidelines.
- 6. Submitting annual reports in the prescribed format.

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#### 20. AMENDMENTS

The Company reserves the right to amend the Policy from time to time in order to comply with any laws / rules / regulations that come into effect from time to time, related to sexual harassment at workplace.

This Policy shall be reviewed annually and as and when key issues get raised to incorporate amendments by the Internal Complaints Committee, subject to the approval of the Board of Directors of the Company.

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# Share India Securities Limited

(CIN: L67120GJ1994PLC115132)
Member: NSE, BSE, MCX & NCDLX
Depository Participant with COS
SEBI Registered Research Analyst & Portfolio Manager

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To

Ms. Pallavi Gupte Share India Securities Limited

Subject: Appointment as a member of the Internal Complaints Committee

Dear Ma'am.

We are pleased to appoint you as a member of Internal Complaints Committee of Share India Securities Limited, formed under the under the provisions of the sexual harassment of women at workplace (prevention, prohibition and redressal) Act, 2013 w.e.f. 14.08.2023.

We wish you Good Luck for a successful tenure. For any queries objections, please connect with the Left team of the Company.

Thank You

Bhavana Garg Chairperson-ICC

Vikas Aggarant Company Secretary & Compliance Office and & Member - 100

will Appel.

Mr. Parveen Gupta Chairman & Managing Director Share India Securities Limited

Subject: Proposal to modify/update the constitution of the Internal Complaints Committee of the Company formed under the provisions of the sexual harassment of women at workplace (prevention, prohibition and redressal) Act, 2013.

Sir.

I am writing this letter to inform you of the fact that Ms. Monika Gupta, member of the Internal Complaints Committee (ICC) formed under the under the provisions of the sexual harassment of work of at workplace (prevention, prohibition and redressal) Act, 2013 ("hereinafter referred to as "the Act" of resigned from our organization w.e.f. 10th August, 2023, as a result of which her position in the ICC remains vacant.

As per my opinion Ms. Pallavi Gupte, being a responsible and vigilant senior female employee shall good fit for the aforementioned position. I seek your approval to appoint her on the required position

Yours Sincerely

Vikas Aggarwal

Company Secretary & Compliance Office

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and Member-ICC

Share India Securities Limited

Ce: Ms. Bhavana Garg Chairperson-ICC

### ANNEXURE -1

# Constitution of Internal Committee:

Designation	Name	Contact No.	E-mail ID
Chairperson/ Presiding officer	Mrs. Bhavna Garg	0120-4910040	bhavnashareindia@gmail.com
Member	Ms. Pallavi Gupte	0120-4910087	Pgupte13@gmail.com
Member	Mr. Vikas Agarwal	0120-4910004	vikas_cs@shareindia.com
External Member	Mr. Nilesh Tripathi	+91-9911172230	nileshtripathi123@gmail.com
External Member	Ms.Anju Srivastava	+91-9711002002	anjugyaneshwar@gmail.com

## FORM FOR COMPLAINT

## 1. Details of the Complainant

Name of the Complainant	
Name and contact details of the person filing complaint on behalf of the Complainant (If applicable)	
Relationship with the Complainant	
Designation of the Complainant	
Department of the Complainant	
Name of the Reporting Authority of the Complainant	
Contact Number of the Complainant	
Address (office) of the Complainant	

## 2. Details of the Alleged Harasser (Respondent)

Name	
Designation	
Department	
Contact Number	
Address (place of work of the alleged harasser)	
3. Details of the Incident	
Description of the Incident	
Other details (if the incident was repeated / any previous related incident)	

Date and Time of the Incident / Incidents	
Details witness /witnesses	
Details of any documents available (E.g. Messages, email,letter etc)	
Details of any persons contacted by the aggrieved individual after the incident (If any)	
Any other relevant information / comments	
Name of the Complainant: Signature	Date:
Name of the Person filing complaint on be	chalf of complainant (If applicable):