

POLICY FOR PRESERVATION OF DOCUMENTS

Version 1.0
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1. PREAMBLE

Pursuant to Regulation 9 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations 2015 (Hereinafter called as “**The Regulations**”) every listed entity shall frame a policy on preservation of documents. This policy *inter alia* provides for preservation of documents where such preservation shall be of permanent nature as also documents with preservation period of not less than eight years after completion of the relevant transactions to which such document relates.

2. INTRODUCTION

A document preservation policy involves the systematic identification, categorization, maintenance, review, retention, retrieval and destruction of documents or created in course of business.

The policy contains the guidelines how to identify documents that need to be maintained, how long certain documents should be retained, how and when those documents should be disposed of if no longer needed, and how should the documents be accessed or retrieved when they are needed as per the rules made under the law.

3. DEFINITIONS

‘Board of Directors’ or **‘Board’** shall mean the Board of Directors of Toyota Financial Services India Limited, as constituted from time to time.

‘Company’ shall mean ‘Toyota Financial Services India Limited’.

‘Documents’ shall mean all papers, notes, agreements, notices, advertisements, requisitions, orders, declarations, forms, correspondence, minutes, indices, registers records, filed, books, tapes, CDs, DVDs, electronic storage devices etc., and the like as required to be maintained under any applicable law or regulation for the time being in force, maintained in physical or electronic form or both and does not include multiple or identical copies.

‘Departmental authorised person’ shall mean Head of the Department/ Function or any such person who is recognised/ authorised by the management or department/function head.

‘Electronic Record(s)’ shall mean the electronic record as defined under clause (t) of subsection (1) of section 2 of the Information Technology Act, 2000.

‘Listing Regulations’ shall mean Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 (‘Listing Regulations’).

4. OBJECTIVE

This policy sets the standards for managing, storing and preservation of documents of the Company and safe disposal and destruction of the documents.

5. DOCUMENT PRESERVATION PERIOD AND MODE

S.No	Nature of Document(s)	Preservation time	Preservation mode
01	Registration Certificates	Permanent	Physical
02	Licenses & Statutory Approvals	Permanent	Physical
03	Statutory Registers required under applicable laws	Permanent	Physical
04	Audited financial statements	Permanent	Physical
05	Minutes of General Meeting	Permanent	Physical
06	Minutes of Board Meeting	Permanent	Physical
07	Minutes of various Committee Meetings	Permanent	Physical
08	Material Agreements/Contracts	Permanent	Physical or Electronic
09	Orders issued by Courts/Statutory bodies	Permanent	Physical or Electronic
10	Investment Documents/proofs including certificates etc.	Permanent	Physical or Electronic
11	Any other document as may be required to maintain permanently in terms of applicable law(s), maintained and preserved from time to time.	Permanent	Physical or Electronic
12	Interdepartmental correspondence	Five Years	Physical or Electronic
13	Books of Accounts	Eight Years	Physical or Electronic
14	Annual Return(s)	Eight Years	Physical or Electronic
15	Personnel/ Employee Documents	Eight Years	Physical or Electronic
16	Insurance Policies/ Claims under various policies	Eight Years	Physical or Electronic
17	Correspondences with Regulatory authorities /stakeholders	Eight Years	Physical or Electronic
18	Non-Statutory Registers/Documents	Eight Years	Physical or Electronic
19	KYC documents of the customers	Ten Years	Physical or Electronic

20	Any other documents necessary to be maintained as per statutory requirement.	Ten Years	Physical or Electronic
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Note:

1. Documents preserved shall include modification, amendments, additions in to such documents. The Documents shall be preserved for specific time period shall be preserved as specified from the date of the transaction.

2. Preservation of Document in Electronic mode shall in accordance with the Back-up and restoration policy of the Company and Vaulting process.

6. ROLES & RESPONSIBILITIES:

The respective Departmental authorised person 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.

7. 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.

8. DESTRUCTION OF DOCUMENTS

The Company shall maintain a register of preservation and disposal of records after the expiry of the statutory retention period. The register of disposal shall be maintained in department level in format in Annexure-1.

This applies to both Physical and Electronic Documents. For disposal of electronic policy refer to Data classification policy and Back up and restoration policy.

9. COMMUNICATION AND DISSEMINATION OF THE POLICY

For all new Employees, a copy of this policy shall be handed over as a part of the joining documentation, along with other HR related policies. For all existing Employees and Directors, a copy of this policy shall be posted on the internet and the web-site of the Company.

10. AMENDMENTS

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

Specimen format of the register of documents disposed off / destroyed

Particulars of document along with provision of law	Date and mode of destruction	Initials of person in charge	Initials of Departmental authorised person

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