

Form ISR – 1

(see SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

REQUEST FOR REGISTERING PAN, KYC DETAILS OR CHANGES / UPDATION THEREOF

[For Securities (Shares / Debentures / Bonds, etc.) of listed companies held in physical form]

Date: / /

A. I / We request you to Register / Change / Update the following (Tick ✓ relevant box)

<input type="text"/> PAN	<input type="text"/> Bank details	<input type="text"/> Signature
<input type="text"/> Mobile number	<input type="text"/> E-mail ID	<input type="text"/> Address

B. Security Details:

Security Details:		
Name of the Issuer Company		Folio No.:
Name(s) of the Security holder(s) as per the Certificate(s)	1. 2. 3.	
Number & Face value of Securities		
Distinctive number of securities (Optional)	From	To

C. I / We are submitting documents as per Table below (tick ✓ as relevant, refer to the instructions):

	✓	Document / Information / Details	Instruction / Remarks
1		PAN of (all) the (joint) holder(s)	
	<input type="checkbox"/>	PAN – Sole/First Holder	<div> <input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/> </div> <div> <input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/> </div> <div> <input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/> </div> <p>PAN shall be valid only if it is linked to Aadhaar by March 31, 2022* For Exemptions / Clarifications on PAN, please refer to Objection Memo in page 4</p>
	<input type="checkbox"/>	Joint Holder-1	<div> <input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/> </div>
	<input type="checkbox"/>	Joint Holder -2	<div> <input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/> </div>
	<input type="checkbox"/>	Whether it is Valid (linked to Aadhaar): <input type="checkbox"/> Yes <input type="checkbox"/> No	
2	<input type="checkbox"/>	Demat Account Number	<div> <input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/> </div> <p>Also provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.</p>

3	<input type="checkbox"/>	Proof of Address of the first holder	<p>Any one of the documents, only if there is change in the address;</p> <p><input type="checkbox"/> Client Master List (CML) of your Demat Account, provided by DP.</p> <p><input type="checkbox"/> Valid Passport/ Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill.</p> <p><input type="checkbox"/> Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.</p> <p><input type="checkbox"/> Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions.</p> <p><input type="checkbox"/> For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.</p> <p><input type="checkbox"/> The proof of address in the name of the spouse</p>
4	<input type="checkbox"/>	Bank details	<p>Account Number: _____</p> <p>Bank Name: _____</p> <p>Branch Name: _____</p> <p>IFS Code: _____</p> <p>Provide the following:</p> <p><u>original cancelled cheque</u> with name of security holder printed on it <u>or</u> <u>Bank Passbook</u> <u>or</u> <u>Bank Statement attested by the Bank</u> #</p>
5	<input type="checkbox"/>	E-mail Address	#
6	<input type="checkbox"/>	Mobile	#

* or any date as may be specified by the CBDT

(DP: Depository Participant)

In case it is not provided, the details available in the CML will be updated in the folio

Authorization: I / We authorise you (RTA) to update the above PAN and KYC details in my / our folio(s) _____, _____, _____ (use Separate Annexure if extra space is required) in which I / We are the holder(s) (strike off what is not applicable).

Declaration: All the above facts stated are true and correct.

	Holder1	Holder 2	Holder 3
Signature			
Name			
Full address			
PIN			

Mode of submission of documents to the RTA

Please use any one of the following mode;

1. In Person Verification (IPV): by producing the originals to the authorized person of the RTA, who will retain copy(ies) of the document(s)
2. In hard copy: by furnishing self-attested photocopy(ies) of the relevant document, with date
3. Through e-mail address already registered with the RTA, with e-sign of scanned copies of documents
4. Service portal of the RTA with e-sign with scanned copies of documents, if the RTA is providing such facility

Note

<ul style="list-style-type: none">• It is mandatory for holders of physical securities in listed company to furnish PAN, full KYC details (address proof, bank details, e-mail address, mobile number) and Nomination (for all the eligible folios).	
<ul style="list-style-type: none">• Upon receipt or up-dation of bank details, the RTA will automatically, pay electronically, all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.	
<ul style="list-style-type: none">• RTA shall update the folio with PAN, KYC details and Nominee, within seven working days of its receipt. However, cancellation of nomination, shall take effect from the date on which this intimation is received by the company / RTA.	
<ul style="list-style-type: none">• RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.	
<ul style="list-style-type: none">• Specimen Signature	<ul style="list-style-type: none">• Provide banker's attestation of the signature of the holder(s) as per Form ISR – 2 in SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655 dated November 03, 2021) and• <u>original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook or Bank Statement attested by the Bank</u>
<ul style="list-style-type: none">• Nomination**	<ul style="list-style-type: none">• Providing Nomination: Please submit the duly filled up Nomination Form (SH-13) or 'Declaration to Opt out of Nomination' as per Form ISR-3, in SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/ CIR/2021/655 dated November 03, 2021• Change in Existing Nomination: Please use Form SH-14 in SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655• Cancellation of Existing Nomination: use Form SH-14 & Form ISR – 3

** Nomination (**Form SH-13 or SH-14**) / 'Declaration to Opt-Out of nomination' (**Form ISR – 3**), has to be furnished by the holder(s) separately for each listed company.

(Page 3 & 4 is for information to investors; print out of the same is not required)

Objection Memo that can be raised by the RTA

(only if the relevant document / details is / are not available in the folio or if there is a mismatch / discrepancy in the same or change thereof)

Note

RTAs shall raise all objections, if any / at all, in one instance only; the RTA shall not raise further objections on the same issue again and again, after the holder / claimant furnishes all the prescribed documents and details, unless there is any deficiency / discrepancy in the same.

No	Item	Documents / Details to be provided to the RTA by the holder(s) / claimant(s)
1	PAN – Exceptions and Clarification	‘Exemptions/clarifications to PAN’, as provided in clause D to ‘Instructions/Check List for Filing KYC Forms’ in Annexure – 1 to SEBI circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011 on Uniform Know Your Client (KYC) Requirements for the Securities Market, shall also be applicable for holder(s) / claimant(s) of securities held in physical mode.
2	Minor mismatch in Signature - minor	The RTA shall intimate the holder at the existing address, seeking objection, if any, within 15 days
3	Major mismatch in Signature or its non-availability with the RTA	<ul style="list-style-type: none"> Banker’s attestation of the signature of the holder(s) as per Form ISR – 2 <u>Original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement attested by the Bank</u>
4	Mismatch in Name	Furnish any one of the following documents, explaining the difference in names; <ul style="list-style-type: none"> Unique Identification Number (UID) (Aadhaar) Valid Passport Driving license PAN card with photograph Identity card / document with applicant’s Photo, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions Marriage certificate Divorce decree
5	Present address of the holder is not matching with the address available in the folio	RTA shall issue intimation to both the old and new addresses. <ul style="list-style-type: none"> In case where the letter is undelivered at the old address, RTA shall not insist for any proof of the old address provided the current address proof is in the form of an address proof issued by a Government Authority. The above procedure will be applicable for request for change in address of the holder also

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Form ISR-2

(See circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

Confirmation of Signature of securities holder by the Banker

Company Name : _____

Folio No. : _____

1. Bank Name and Branch				
2. Bank contact detail Postal Address				
Phone number				
E-mail address				
3. Bank Account number				
4. Account opening date				
5. Account holder(s) name(s)	1) 2) 3)			
6. Latest photograph of the account holder(s)				
<table border="1"><tr><td>1st Holder</td><td>2nd Holder</td><td>3rd Holder</td></tr></table>		1st Holder	2nd Holder	3rd Holder
1st Holder	2nd Holder	3rd Holder		

Form ISR – 3

Declaration Form for Opting-out of Nomination by holders of physical securities in Listed Companies

(see SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

[Under Section 72 r/w Section 24 (1) (a) of Companies Act, 2013 r/w Section 11(1) and 11B of SEBI Act, 1992 and Clause C in Schedule VII and Regulation 101 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015]

Name of the Company :

Registered Address of the Company :

I / we _____ the holder(s) of the securities particulars of which are given hereunder, **do not wish to nominate** any person(s) in whom shall vest, all the rights in respect of such securities in the event of my /our death.

PARTICULARS OF THE SECURITIES (in respect of which nomination is being opted out)

Nature of Securities	Folio No.	No. of Securities	Certificate No.	Distinctive Nos.	
				From	To

I/ we understand the issues involved in non-appointment of nominee(s) and further are aware that in case of my / our death, my / our legal heir(s) / representative(s) are required to furnish the requisite documents / details, including, Will or documents issued by the Court like Decree or Succession Certificate or Letter of Administration / Probate of Will or any other document as may be prescribed by the competent authority, for claiming my / our aforesaid securities.

Name(s) and Address of Security holders(s)

Signature(s)

Sole / First Holder Name

Second Holder Name

Third Holder Name

Name and Address of Witness	Signature

Form ISR-4

(see circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated January 25, 2022 on Issuance of Securities in dematerialized form in case of Investor Service Requests)

Request for issue of Duplicate Certificate and other Service Requests

(for Securities - Shares / Debentures / Bonds, etc., held in physical form)

Date: _____

A. Mandatory Documents / details required for processing all service request:

I / We are submitting the following documents / details and undertake to request the Depository Participant to dematerialize my / our securities within 120 days from the date of issuance of Letter of Confirmation, received from the RTA/Issuer Company (tick ✓ as relevant, refer to the instructions):

- Demat Account No. (If available):

Provide Client Master List (CML) of your Demat Account from the Depository Participant*

- Provide the following details, if they are not already available with the RTA (see [SEBI circular dated November 03, 2021](#) in this regard)

PAN <input type="checkbox"/>	Specimen Signature <input type="checkbox"/>
Nomination / Declaration to Opt-out <input type="checkbox"/>	

* (Your address, e-mail address, mobile number and bank details shall be updated in your folio from the information available in your CML). You can authorize the RTA to update the above details for all your folios. In this regard, please refer to and use [Form ISR-1](#) in [SEBI circular dated November 03, 2021](#).

B. I / We request you for the following (tick ✓ relevant box)

<input type="checkbox"/> Issue of Duplicate certificate	<input type="checkbox"/> Claim from Unclaimed Suspense Account
<input type="checkbox"/> Replacement / Renewal / Exchange of securities certificate	<input type="checkbox"/> Endorsement
<input type="checkbox"/> Sub-division / Splitting of securities Certificate	<input type="checkbox"/> Consolidation of Folios
<input type="checkbox"/> Consolidation of Securities certificate	<input type="checkbox"/> Transmission
<input type="checkbox"/> Transposition (<i>Mention the new order of holders here</i>)	

- 1)
- 2)
- 3)

C. I / We are enclosing certificate(s) as detailed below:**

Name of the Issuer Company	
Folio Number	
Name(s) of the security holder(s) as per the certificate(s)	1. 2. 3.
Certificate numbers	
Distinctive numbers	
Number & Face value of securities	

** Wherever applicable / whichever details are available

D. Document / details required for specific service request:

- I. ☐ Duplicate securities certificate
- II. ☐ Claim from Unclaimed Suspense Account

Securities claimed	(in numbers) (in words)
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- III. ☐ Replacement / Renewal / Exchange of securities certificate
(that is defaced, mutilated, torn, decrepit, worn out or where the page on the reverse is fully utilized)
- IV. ☐ Endorsement

- V. ☐ Sub-division / Splitting of securities certificate
- VI. ☐ Consolidation of securities certificate/Folios
- VII. ☐ Transmission
- VIII. ☐ Transposition

Provide / attach original securities certificate(s) for request for item numbers III to VIII above.

Declaration: All the above facts stated are true and correct to best of my / our knowledge and belief.

	Security Holder 1 / Claimant	Security Holder 2	Security Holder 3
Signature			
Name			
Full address			
PIN	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

After processing the service request, the RTA shall issue a 'Letter of Confirmation' to the securities holder/claimant, which is valid only for 120 days. Using this 'Letter of Confirmation', the securities holder/claimant shall request the DP to dematerialize the securities, failing which the securities shall be credited to the Suspense Escrow Demat Account of the Company.

Form No. SH – 13**Nomination Form**

[Pursuant to Section 72 of the Companies Act 2013 and rule 19(1) of the Companies Act
(Share Capital and Debentures) Rules 2014]

Folio No. :

Name of the Company :

Address of the Company :

I/We _____

holder(s) of the Securities particulars of which are given hereunder wish to make nomination and do hereby nominate the following persons in whom shall vest, all the rights in respect of such securities in the event of my / our death.

(1) PARTICULARS OF THE SECURITIES (in respect of which nomination is being made)

Nature of Securities	Folio No	No of Securities	Certificate No	Distinctive Nos.

(2) PARTICULARS OF NOMINEE

(a) Name :

(b) Date of Birth :

(c) Father's / Mother's
/ Spouse Name :

(d) Occupation :

(e) Nationality :

(f) Address :

(g) Email Id :

(h) Relationship with
the Security holder :

(3) IN CASE NOMINEE IS A MINOR

(a) Date of Birth :

(b) Date of attaining
Majority :

(c) Name of Guardian :

(d) Address of Guardian:

(4) PARTICULARS OF NOMINEE IN CASE MINOR NOMINEE DIES BEFORE ATTAINING AGE OF MAJORITY

(a) Name :

(b) Date of Birth :

(c) Father's/Mother's
/Spouse's Name :

(d) Occupation :

(e) Nationality :

(f) Address :

(g) E-mail id :

(h) Relationship with
security holder :

(i) Relationship with
minor nominee :

Name of all the holder(s) as appearing in the certificate		Signature as per specimen recorded with Company and Date
Sole / 1 st Holder		
1 st Joint Holder		
2 nd Joint Holder		

Signature of Witnesses:

Complete Name and Address		Signature with Date
1		
2		

Instructions:

- 1) Nomination can be made by individuals only, holding securities on their own behalf.

- 2) Transfer of securities in favour of a Nominee shall be valid discharge by the Company against the legal heir.
- 3) Nomination stand rescinded upon transfer / transmission / transposition of securities.
- 4) Nomination forms shall be submitted in duplicate. Duplicate copy of the same will be returned to you for your records after nomination is registered by the Company.
- 5) Nominee cannot be a Trust, Society, Body Corporate, Partnership Firm, Karta of Hindu Undivided Family or a Power of Attorney Holder.
- 6) Only one person can be nominated for a given Folio.
- 7) Nomination can be varied by executing fresh Nomination form and can be cancelled by executing Form ISR-3, Form SH-14.
- 8) Any claim other than those from registered nominee will not be entertained unless directed by a Competent Authority / Court.
- 9) Please use separate Nomination Forms for each Folios, if you have more than one Folio.
- 10) Upon registration of Nomination RTA / Company will issue a Nomination Registration Number. Registration Number and Folio Number should be quoted by the nominee in all correspondence, preferably with the copy of the Registration letter sent by the RTA / Company.

Form No. SH – 14
Cancellation or Variation of Nomination

[Pursuant to sub-section (3) of Section 72 of the Companies Act 2013 and rule 19(9) of the Companies Act (Share Capital and Debentures) Rules 2014]

Name of the Company :
Address of the Company :

I / We hereby cancel the nomination(s) made by me / us in favour of

(name and address of the nominee)

(name and address of the nominee)

in respect of such securities in the event of my / our death.

(1) PARTICULARS OF THE SECURITIES (in respect of which nomination is being cancelled / varied)

Nature of Securities	Folio No	No of Securities	Certificate No	Distinctive Nos.

(2) PARTICULARS OF THE NEW NOMINEE

(a) Name :

(b) Date of Birth :

(c) Father's / Mother's
/ Spouse Name :

(d) Occupation :

(e) Nationality :

(f) Address :

(g) Email Id :

(h) Relationship with
the Security holder :

(3) IN CASE NOMINEE IS A MINOR

(a) Date of Birth

(b) Date of attaining majority

(c) Name of Guardian

(d) Address of Guardian

(4) PARTICULARS OF NOMINEE IN CASE MINOR NOMINEE DIES BEFORE ATTAINING AGE OF MAJORITY

(a) Name

(b) Date of Birth

(c) Father's/Mother's/Spouse's Name

(d) Occupation

(e) Nationality

(f) Address

(g) E-mail id

(h) Relationship with
security holder

(i) Relationship with
minor nominee

Name of all the holder(s) as appearing in the certificate		Signature as per specimen recorded with Company and Date
Sole / 1 st Holder		
1 st Joint Holder		
2 nd Joint Holder		

Signature of Witnesses:

Complete Name and Address		Signature with Date
1		
2		

Instructions:

- 1) Nomination can be made by individuals only, holding securities on their own behalf.

- 2) Transfer of securities in favour of a Nominee shall be valid discharge by the Company against the legal heir.
- 3) Nomination stand rescinded upon transfer / transmission / transposition of securities.
- 4) Nomination forms shall be submitted in duplicate. Duplicate copy of the same will be returned to you for your records after nomination is registered by the Company.
- 5) Nominee cannot be a Trust, Society, Body Corporate, Partnership Firm, Karta of Hindu Undivided Family or a Power of Attorney Holder.
- 6) Only one person can be nominated for a given Folio.
- 7) Nomination can be varied by executing fresh Nomination form and can be cancelled by executing Form ISR-3, Form SH-14.
- 8) Any claim other than those from registered nominee will not be entertained unless directed by a Competent Authority / Court.
- 9) Please use separate Nomination Forms for each Folios, if you have more than one Folio.
- 10) Upon registration of Nomination RTA / Company will issue a Nomination Registration Number. Registration Number and Folio Number should be quoted by the nominee in all correspondence, preferably with the copy of the Registration letter sent by the RTA / Company.