

Form ISR – 1

(see SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 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="checkbox"/> PAN	<input type="checkbox"/> Bank details	<input type="checkbox"/> Signature
<input type="checkbox"/> Mobile Number	<input type="checkbox"/> E-mail ID	<input type="checkbox"/> Address

B. 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):

<input checked="" type="checkbox"/>	Document / Information / Details	Instruction / Remark
1	PAN of (all) the (joint) holder(s)	
	PAN Whether it is Valid (linked to Aadhaar) : <input type="checkbox"/> Yes <input type="checkbox"/> No	PAN shall be valid only if it is linked to Aadhaar by March 31, 2023* For Exemptions / Clarifications on PAN, please refer to Objection Memo in Page 6 & 7
2	Demat Account Number (Optional)	Also provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.

3	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"/> Unique Identification Number (UID) (Aadhaar)</p> <p>Valid Passport/ Registered Lease or Sale Agreement of Residence / Driving License.</p> <p><input type="checkbox"/> Flat Maintenance bill accompanied with additional self-attested copy of Identity Proof of the holder/claimant.</p> <p><input type="checkbox"/> Utility bills like Telephone Bill (only land line)/ Electricity bill / 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 duly attested by the employer with date and organisation stamp</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"/> Proof of address in the name of the spouse accompanied with self- attested copy of Identity Proof of the spouse.</p> <p><input type="checkbox"/> Client Master List (CML) of the Demat Account of the holder / claimant, provided by the Depository Participant.</p>
4	Bank details (to be updated for first holder in case of joint holding)	<p>Account Number : _____</p> <p>Bank Name : _____</p> <p>Branch Name : _____</p> <p>IFS Code : _____</p> <p>Provide the following :</p> <p><input type="checkbox"/> Original cancelled cheque bearing the name of the security holder; OR</p> <p><input type="checkbox"/> Bank passbook/statement attested by the Bank;</p>
5	E-mail address	_____ #
6	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 following additional folio(s) held in my / our name (use Separate Annexure if extra space is required) :

Sl. No.	Name of the Issuer Company	Folio No.	Quantity of Securities	Face value of Securities	Distinctive Number of Securities (Optional)

in which I / We are the holder(s) (strike off what is not applicable).

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

	Holder 1	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. **Through 'In Person Verification' (IPV) :** The authorized person of the RTA shall verify the original documents furnished by the investor and retain copy (ies) with IPV stamping with date and initials.
2. **Through Post :** Hard copies of the documents which are self-attested.
3. Through electronic mode with e-sign: The holder(s)/ claimant(s) may furnish the documents to RTAs electronically including by way of email or through service portal of the RTA provided the documents furnished shall have e-sign* of the holder(s)/ claimant(s).

*E-Sign is an integrated service which facilitates issuing a Digital Signature Certificate and performing signing of requested data by e-Sign user. The holder/claimant may approach any of the empanelled e-Sign Service Providers, details of which are available on the website of Controller of Certifying Authorities (CCA), Ministry of Communications and Information Technology (<https://cca.gov.in/>) for the purpose of obtaining an e-sign.

Note :

<ul style="list-style-type: none">● Holders of physical securities in listed company are mandatorily required to furnish PAN, KYC details (Contact details, Bank Account Details, Signature) and Nomination (for all the eligible folios) to enable RTA to process any service request or complaints received from the security holder(s)/ Claimants.	
<ul style="list-style-type: none">● Upon receipt or up-dation of bank details, the RTA shall, suo-moto, generate request to the company's bankers to 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 timelines as mentioned in the circular no. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/670 dated November 26, 2021. 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	<p>Option A</p> <p>i. Security holder shall provide the following documents :</p> <p>(a) Original cancelled cheque with name of the security holder printed on it; or</p> <p>(b) Self-attested copy of Bank Passbook/ Bank Statement;</p> <p style="text-align: center;">and</p> <p>ii. Banker's attestation of the signature of the same bank account as mentioned in (i) above as per Form ISR - 2.</p> <p style="text-align: center;">OR</p> <p>Option B</p> <p>The investor may get his or her signature changed or updated by visiting the Office of the RTA in person. In such a case, the investor shall sign before the authorized personnel of the RTA, along with PAN card and any one additional document mentioned at Serial Nos. 1-4 of Annexure – E of SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023, in original for verification by the RTA, and submit self- attested copies of the same.</p>
<ul style="list-style-type: none">● Nomination**	<p>i. Providing Nomination: Please submit the duly filled up Nomination Form (<u>SH-13</u>) or 'Declaration to Out of Nomination' as per - <u>Form ISR3</u>, in SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023.</p> <p>(a) Variation in Existing Nomination: Please use <u>Form SH-14</u></p> <p>(b) Cancellation of Existing Nomination and opting out: use <u>Form SH-14 & Form ISR-3</u></p>

** 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.

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 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	<p>Option A</p> <p>i. Security holder shall provide the following documents :</p> <p style="padding-left: 20px;">(a) Original cancelled cheque with name of the security holder printed on it; or</p> <p style="padding-left: 20px;">(b) Self-attested copy of Bank Passbook/Bank Statement;</p> <p style="text-align: center;">and</p> <p>ii. Banker's attestation of the signature of the same bank account as mentioned in (i) above as per Form ISR - 2</p> <p style="text-align: center;">OR</p> <p>Option B</p> <p>The investor may get his or her signature changed or updated by visiting the Office of the RTA in person. In such a case, the investor shall sign before the authorized personnel of the RTA, along with PAN card and any one additional document mentioned at Serial Nos.1-4 of Annexure – E of SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023, in original for verification by the RTA, and submit self-attested copies of the same.</p>
4	Mismatch in Name	<p>Furnish any one of the following documents, explaining the difference in names;</p> <ul style="list-style-type: none"> ● Unique Identification Number (UID) (Aadhaar) ● Valid Passport ● Driving license in Smart Card form, Book form or copy of digital form ● 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. ● PAN card with photograph ● Marriage certificate ● Divorce decree
5	Present address of the holder is not matching with the address available in the folio	<p>In case the signature of the holder matches with the record available with the RTA, the request for change in address may be processed within the prescribed timelines.</p> <p>In case there is a difference in signature, the RTA shall follow the procedure as prescribed for mismatch in signature as laid down at Para – 1 of Annexure C of SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/ 2023/37 dated March 16, 2023</p>


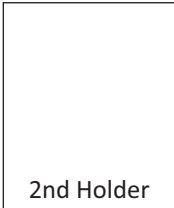
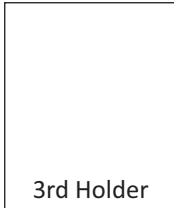

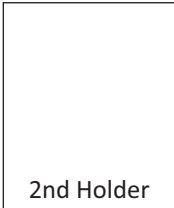
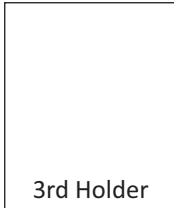

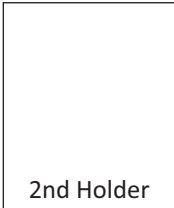
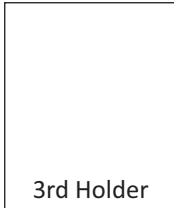



Form ISR – 2

(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)

Folio Number :

Name of the Company :

Confirmation of Signature of securities holder by the Banker

1. Bank Name and Branch				
2. Bank contact details : 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		
7. Account holder(s) details as per Bank Records				
a) Address				
b) Phone Number				
c) Email Address				
d) Signature(s)				
1) 	2) 	3) 		
Seal of the Bank	Signature verified as recorded with the Bank			
	(Signature)			
Place :	Name of the Bank Manager			
	Employee Code			
Date :	E-mail Address			

Form No.SH-13
Nomination Form

[Pursuant to section 72 & rule 4.17(1)& (3)]

To

Name of the Company:
Address of the Company:

I/We, _____ the holder(s) holders(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 Number	No. of Securities	Certificate Number	Distinctive Number
EQUITY				

(2) PARTICULARS OF NOMINEE/S –

(a) Name: _____

(b) Father's/Mother's/Spouse's name: _____

(c) Date of Birth: _____ (d) Occupation: _____ (e) Nationality _____

(f) Address : _____

(g) E-mail id: _____

(h) Relationship with the security holder: _____

(3) IN CASE NOMINEE IS A MINOR –

(a) Date of birth : _____ (b) Date of attaining majority _____

(b) Name of guardian: _____

(c) Address of guardian: _____

Name of the Security Holder(s)	Signature of the Security Holder(s)

Address of the Security Holder (s): _____

Signature of Witness: _____

Name and Address of Witness: _____

Please fill this Nomination Form after carefully reading the instruction given below :

1. The Nomination can be made by individual's only holdings shares singly or jointly. Non individuals including Society, Trust, Body Corporate, Partnership firm, Karta of Hindu Undivided Family and Power of Attorney holder cannot nominate.
2. The nominee shall not be a Trust, Society, Body Corporate, Partnership firm, Karta of Hindu Undivided Family and power of attorney holder.
3. The shareholder [s] can nominate a minor as a nominee and in that event the name and address of the guardian shall be provided.
4. As per section 72 of Companies Act 2013, if the shares are held by more than one person jointly, then the joint holders may together nominate a person to whom all the rights in the shares of the Company shall vest, in the event of death of all the joint holders.
5. If the shares are held jointly, subsequent to the death of anyone of the holders, the shares would not be registered in favour of the nominee but would be transferred in the name of the surviving shareholders.
6. The nomination form filled in should be lodged along with the self attested Pan Card and Address proof copy of Shareholder with the Registrar and Share transfer Agent of the Company i.e. M/s. Integrated Registry Management Services Private Limited, No. 30, Ramana Residency, 4th Cross, Sampige Road, Malleswaram, Bengaluru - 560003. The Registrar will send the Confirmation Letter to the shareholder after registering the nomination. The registration number allotted will be furnished in the said form.
7. The shareholder[s] can delete or change an earlier nomination by executing Form No. SH-14 (Cancellation or Variation of Nomination form)
8. Nomination stands cancelled whenever the shares in the given folio are transferred/ dematerialized. Also in case of change in folio due to consolidation/ transmission a new nomination has to be filed.
9. The nomination made through Form No. SH-13 will be considered valid if the nomination made by the holder[s] of the shares is registered with the company before the death of the registered holder[s] of the shares.
10. Kindly note that the nomination being a legal document should be dated by the nominator and the witness should certify that the nominator has signed the form in their presence. Furthermore the date of execution on the Nomination Form should match with the date of witness, witnessing the document.
11. Affixing photograph of the Nominee is not mandatory and if affixed the nominee should sign across the photograph.

FOR OFFICE USE ONLY

Nomination Registration Number	Date of Registration	Signature of Employee with Employee ID Number

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