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:** / /

# 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): [DEMAT AC C1]

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](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html) [circular dated November 03, 2021](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html) in this regard)

|  |  |
| --- | --- |
| PAN  [PAN C1]  [PAN C2]  [PAN C3] | Specimen Signature |
| Nomination / Declaration to Opt-out |  |

\* (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](https://www.sebi.gov.in/sebi_data/commondocs/dec-2021/pdf%20Form%20ISR-1%20(1)_p.pdf) in [SEBI](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html) [circular dated November 03, 2021](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html).

1. I / We request you for the following (tick  relevant box)

|  |  |
| --- | --- |
| ◻ Issue of Duplicate certificate | ◻Claim from Unclaimed Suspense Account |
| ◻ Replacement / Renewal / Exchange of securities certificate | ◻ Endorsement |
| ◻ Sub-division / Splitting of securities certificate | ◻ Consolidation of Folios |
| ◻ Consolidation of Securities certificate | ◻ Transmission / **Change of Name** |
| ◻ Transposition *(Mention the new order of holders here)* | |
| ◻Claim from Suspense Escrow Demat Account | |

# I / We are enclosing certificate(s) as detailed below\*\*:

|  |  |
| --- | --- |
| Name of the Issuer Company | [Company Name] |
| Folio Number | [Folio No] |

|  |  |
| --- | --- |
| Name(s) of the security  holder(s) as per the certificate(s) | 1.[Name as per Aadhar C1]  2. [Name as per Aadhar C2]  3. [Name as per Aadhar C3] |
| Certificate numbers | [SC1], [SC2], [SC3], [SC4], [SC5] |
| Distinctive numbers | [DN1], [DN2], [DN3], [DN4], [DN5] |
| Number & Face value of  securities | [Total Shares] **Number & Face Value of Rs.** [Face Value] **/-** |

\*\* Wherever applicable / whichever details are available

# Document / details required for specific service request:

◻ Duplicate securities certificate

◻ Claim from Unclaimed Suspense Account

|  |  |
| --- | --- |
| Securities claimed | (in numbers) (in words) |

◻ Replacement / Renewal / Exchange of securities certificate

(that is defaced, mutilated, torn, decrepit, worn out or where the page on the reverse is fully utilized)

◻ Endorsement

◻ Sub-division / Splitting of securities certificate

◻ Consolidation of securities certificate/Folios

◻ Transmission / **Change of Name**

◻ Transposition

◻ Claim from Suspense Escrow Demat Account

|  |  |
| --- | --- |
| Securities claimed | (in numbers) (in words) |

*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** | **Security Holder 2** | **Security Holder 3** |
| Signature | ✓ | ✓ | ✓ |
| Name | ✓ [Name as per Aadhar C1] | ✓ [Name as per Aadhar C2] | ✓ [Name as per Aadhar C3] |
| Full address | ✓ [Address C1] | [Address C2] | [Address C3] |
| PIN | [PIN C1] | [PIN C2] | [PIN C3] |