

**PROCEDURES & INSTRUCTIONS TO SHARE HOLDERS**  
(To prepare documentation for Transmission of Share Certificates)

[Under Securities and Exchange Board of India (SEBI)(Listing Obligations and Disclosure Requirements) Regulations, 2015 dated 2<sup>nd</sup> September, 2015 vide Ref. No. SEBI/LAD-NRO/GN/2015-16/013.]

**UNIT: SRF LIMITED**

**(Formerly Known as Shri Ram Fibres Limited)**

If all the Registered Share Holder(s) are no more (means deceased, then claimant(s)/legal-heir(s) are required to follow procedures mentioned below for **TRANSMISSION OF SHARES**:

**1. In case shares are held in single name WITH a Nominee following documents are required for Transmission of Shares:**

- (a) Duly signed Transmission request form by the Nominee as per enclosed format herewith -(Annexure C- ISR-5).
- (b) All the Original Share Certificates of Face Value of Rs.10/- each.
- (c) Original death certificate or Copy of death certificate attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s)/claimant(s)/legal heir(s), subject to verification with original by the RTA/Company.
- (d) Self-attested copy of PAN card of the Nominee issued by the Income Tax Department.
- (e) Self-attested copy of Proof of address of the Nominee (if Utility bill is provided, it shall not be more than 2 months old).
- (f) Copy of Birth Certificate (in case the nominee is a minor).
- (g) KYC\* of the Claimant Guardian (in case of nominee being a minor / of unsound mind).

\*If not KYC compliant

**2. In case shares are held in single name WITHOUT a Nominee following documents are required for Transmission of Shares:**

**I. In case where shares held are upto Rs.5 Lacs:**

- (a) Duly signed Transmission request form by the Nominee as per enclosed format herewith (Annexure C- ISR-5).
- (b) All the Original Share Certificates of Face Value of Rs.10/- each.
- (c) Original death certificate or Copy of death certificate attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s)/claimant(s)/legal heir(s), subject to verification with original by the RTA/Company.
- (d) Notarized Affidavit, from all legal heir(s), on Rs.50/- Non-Judicial Stamp paper to effect of on identity and claim of ownership, as per the format provided in **Annexure D**. (In case the legal heir(s)/claimant(s) are named in the Succession Certificate or Probate of Will or Will or Letter of Administration or Legal Heirship Certificate (or its equivalent certificate), an Affidavit from such legal heir(s)/claimant(s), duly notarized and as per the format provided in **Annexure D**, shall be sufficient).
- (e) Notarized Indemnity Bond on Rs.300/- Non-Judicial Stamp paper for indemnifying the Company, in as per the format provided in **Annexure E** (Not required in case documents specified in point II (e) below are provided)
- (f) Photocopies of PAN cards & Address Proofs of witnesses.
- (g) No Objection Certificate (NOC) Affidavit on Rs.50/- Non-Judicial Stamp paper, from all legal heirs(s), as per the format provided in **Annexure F**, or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer. (Not required in case documents specified in point II (e) below are provided).
- (h) Self-attested copy of PAN card of the Legal-Heir/Claimant issued by the Income Tax Department.
- (i) Self-attested copy of Proof of address of the Legal-Heir/Claimant (if Utility bill is provided, it shall not be more than 2 months old).
- (j) Copy of Birth Certificate (in case the Legal-Heir/Claimant is a minor).
- (k) KYC\* of the Claimant Guardian (in case of Legal-Heir/Claimant being a minor / of unsound mind).

\*If not KYC compliant

**II. In case where shares held are more than Rs.5 Lacs:**

- (a) Duly signed Transmission request form by the Nominee as per enclosed format herewith (Annexure C- ISR-5).
- (b) All the Original Share Certificates of Face Value of Rs.10/- each.
- (c) Original death certificate or Copy of death certificate attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s)/claimant(s)/legal heir(s), subject to verification with original by the RTA>Listed Issuer.

- (d) Notarized Affidavit on Rs.50/- Non Judicial Stamp paper to effect of on identity and claim of ownership, as per the format provided in Annexure D. (In case the legal heir(s)/claimant(s) are named in the Succession Certificate or Probate of Will or Will or Letter of Administration or Legal Heirship Certificate(or its equivalent certificate), an Affidavit from such legal heir(s)/claimant(s), duly notarized and as per the format provided in Annexure D, shall be sufficient).
- (e) Copy of any of the following documents:
- i. Succession certificate; or
  - ii. Probate of Will; or
  - iii. Will, along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities are transmitted, as per the format specified provided in **Annexure E**; or
  - iv. Letter of Administration; or
  - v. Court Decree; or
  - vi. Legal Heirship Certificate or its equivalent, along with (i) a notarized indemnity bond from the legal heir (s)/claimant(s) to whom the securities are transmitted, as per the format specified provided in **Annexure E**; and (ii) No Objection from all the non-claimants, duly attested by a notary public or by a gazetted officer as per the format provided in **Annexure F**.

The document should be Attested by the legal heir(s)/claimant(s) subject to verification with the original or duly attested by a notary public or by a Gazetted officer.

- (f) Self-attested copy of PAN card of the Legal-Heir/Claimant issued by the Income Tax Department.
- (g) Self-attested copy of Proof of address of the Legal-Heir/Claimant (if Utility bill is provided, it shall not be more than 2 months old).
- (h) Copy of Birth Certificate (in case the Legal-Heir/Claimant is a minor).
- (i) KYC\* of the Claimant Guardian (in case of Legal-Heir/Claimant being a minor / of unsound mind).

\*If not KYC compliant

- **ISR-1, ISR-2, ISR-3 (or) SH-13 are compulsory required from the Claimant/Legal-Heir (formats are attached herewith)**

**Annexure A**

**READY RECKONER: DOCUMENTS REQUIRED FOR TRANSMISSION OF SECURITIES**

<b>Sr. No.</b>	<b>Documents required for transmission</b>	<b>Sole holder deceased &amp; nomination registered</b>	<b>Sole holder deceased &amp; nomination <u>not</u> registered</b>
<b>1.</b>	Transmission Request Form	<b>Annexure C</b>	<b>Annexure C</b>
<b>2.</b>	Original death certificate or Copy of death certificate attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s)/claimant(s)/legal heir(s), subject to verification with original by the RTA>Listed Issuer	✓	✓
<b>3.</b>	Self-attested copy of Permanent Account Number Card of the nominee(s)/claimant(s)/legal heir(s) issued by the Income Tax Department	✓	✓
<b>4.</b>	Copy of Birth Certificate (in case the nominee/claimant/legal heir is a minor)	✓	✓
<b>5.</b>	KYC* of the Claimant Guardian (in case of nominee /claimant being a minor / of unsound mind).	✓	✓
<b>6.</b>	Original security certificate(s)	✓	✓

\*If not KYC compliant

<b>7.</b>	Notarized affidavit from all legal heir(s) made on non-judicial stamp paper of appropriate value on identity and claim of ownership, as per the format provided in <b>Annexure D</b> .	NA	✓
<b>8.</b>	In case the legal heir(s)/claimant(s) are named in the Succession Certificate or Probate of Will or Will or Letter of Administration or Legal Heirship Certificate(or its equivalent certificate), instead of the document mentioned in point 7 above, an Affidavit from such legal heir(s)/claimant(s), duly Notarised and as per the format provided in <b>Annexure D</b> , shall be sufficient.	NA	✓
<b>9.</b>	Copy of any of the following documents: (a) Succession certificate; or (b) Probate of Will; or (c) Will, along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom	NA	✓

	<p>the securities are transmitted, as per the format specified provided in <b>Annexure E</b>; or</p> <p>(d) Letter of Administration; or</p> <p>(e) Court Decree; or</p> <p>(f) Legal Heirship Certificate or its equivalent, along with (i) a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities are transmitted, as per the format specified provided in <b>Annexure E</b>; and (ii) No Objection from all the non-claimants, duly attested by a notary public or by a gazetted officer as per the format provided in <b>Annexure F</b>.</p> <p>The document should be Attested by the legal heir(s)/claimant(s) subject to verification with the original or duly attested by a notary public or by a Gazetted officer.</p>		
10.	<p>For cases where the value of securities is up to rupees five lakhs per listed entity as on the date of submission of complete documentation in case of securities held in physical mode and up to rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode, instead of and where the documents mentioned in point 9 above are not available, the following documents may be submitted;</p> <p>(i) no objection certificate from all legal heirs(s), as per the format provided in <b>Annexure F</b>, or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer; and</p> <p>(ii) notarized indemnity bond made on non-judicial stamp paper of appropriate value, indemnifying the Share Transfer Agent/listed entity, in as per the format provided in <b>Annexure E</b>.</p>	NA	✓

**Request for Transmission of Securities by Nominee or Legal Heir**  
 (For Transmission of securities on death of the Sole holder)

**Annexure C –  
 ISR 5**

To:

**The Listed Issuer/RTA,**  
 (Address)

**(Name of the Listed Issuer/RTA)**

<b>Name of the claimant(s)</b>			
Mr./Ms.			
Name of the Guardian		<input type="checkbox"/> <i>in case the claimant is a minor</i> → Date of Birth of the minor*	
Mr./Ms. _____			
Relationship with Minor: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Court Appointed Guardian*			
[Multiple PAN may be entered] PAN (Claimant(s)/Guardian): <input type="text"/>   <input type="checkbox"/> KYC			
Acknowledgment attached <input type="checkbox"/> KYC form attached			
Tax Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Resident Minor (through Guardian) <input type="checkbox"/> NRI <input type="checkbox"/> PIO <input type="checkbox"/> Others <i>(please specify)</i>			

\*Please attach relevant proof

I/We, the claimant(s) named hereinabove, hereby inform you about the demise of the below mentioned Securities Holder(s) and request you to transmit the securities held by the deceased holder(s) in my/our favour in my/our capacity as –  
 Nominee     Legal Heir     Successor to the Estate of the deceased     Administrator of the Estate of the deceased

<b>Name of the deceased holder(s)</b>	<b>Date of demise**</b>
1)	DD / MM / YYYY
2)	DD / MM / YYYY
3)	DD / MM / YYYY

\*\*Please attach certified copy of Death Certificate.

**Securities(s) & Folio(s) in respect of which Transmission of securities is being requested**

Name of the Company	Folio No.	No. of Securities	% of Claim@
1)			
2)			
3)			
4)			

@As per Nomination OR as per the Will/Probate/Succession Certificate/Letter of Administration/ Legal Heirship Certificate (or its equivalent certificate)/ Court Decree, if applicable.

**Contact details of the Claimant (s) [Provision for multiple entries may be made]**

Mobile No.+91	Tel. No. STD -
Email Address	

**Address** (Please note that address will be updated as per address on KYC form / KYC Registration Agency records)

Address Line 1	
Address Line 2	
City:	State
PIN	

**Bank Account Details of the Claimant**

Bank Name	
Account No.	11-digit IFSC
A/c. Type (✓) <input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> FCNR	9-digit MICR No.
Name of bank branch	
City	
PIN	

Please attach & tick✓  Cancelled cheque with claimant's name printed OR  Claimant's Bank Statement/Passbook (duly attested by the Bank Manager)

I also request you to pay the UNCLAIMED amounts, if any, in respect of the deceased securities holder(s) by direct credit to the bank account mentioned above.

**Additional KYC information** (Please tick✓ whichever is applicable)

<b>Occupation</b>	<input type="checkbox"/> Private Sector Service	<input type="checkbox"/> Public Sector Service	<input type="checkbox"/> Government Service		
<input type="checkbox"/> Business	<input type="checkbox"/> Professional				
<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Home Maker	<input type="checkbox"/> Student		
<input type="checkbox"/> Forex Dealer					
<input type="checkbox"/> Others					
(Please specify)					
The Claimant is	<input type="checkbox"/> a Politically Exposed Person	<input type="checkbox"/> Related to a Politically Exposed Person			
<input type="checkbox"/> Neither (Not applicable)					
<b>Gross Annual Income (₹)</b>	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 Lacs	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/>
25 Lacs-1crore	<input type="checkbox"/> >1 crore				

**FATCA and CRS information**

Country of Birth	Place of Birth	
Nationality		
Are you a tax resident of any country other than India? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If Yes, please mention all the countries in which you are resident for tax purposes and the associated Taxpayer Identification Number and its identification type in the column below		
Country	Tax-Payer Identification Number	Identification Type

**Nomination®** (Please √ one of the options below)

I/We **DO NOT** wish to make a nomination. (*Please tick √ if you do not wish to nominate anyone*)

I/We wish to make a nomination and hereby nominate the person/s more particularly described in the **attached Nomination Form** to receive the securities held in my/our folio in the event of my / our death.

@ *Guardian of a minor is not allowed to make a nomination on behalf of the minor*

**Declaration and Signature of the Claimant(s)**

I/We have attached herewith all the relevant / required documents as indicated in the attached Ready Reckoner as per Annexure A.

I/We confirm that the information provided above is true and correct to the best of my knowledge and belief.

I/We undertake to keep

(Name of the Company) / its RTA informed about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required by the RTAs.

I/We hereby authorize

(Name of the Company) and its RTA to provide/ share any of the information provided by me/us including my holdings in the (Name of the Company) to any governmental or statutory or judicial authorities/agencies as required by law without any obligation of informing me/us of the same.

Place _____	Signature of Claimant(s)
Date _____	

**Documents Attached**

- Copy of Death Certificate of the deceased holder
- Copy of Birth Certificate (in case the Claimant is a minor)
- Copy of PAN Card of Claimant / Guardian
- KYC Acknowledgment OR
- KYC form of Claimant
- Cancelled cheque with claimant's name printed OR  Claimant's Bank Statement/Passbook
- Nomination Form duly completed
- Annexure D - Individual Affidavits given EACH Legal Heir
- Original security certificate(s)
- Annexure E - Bond of Indemnity furnished by Legal Heirs
- Annexure F - NOC from other Legal Heirs

\***Note:** For transmission service requests, Form ISR-4 as per SEBI circular  
SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022 will not be required.

**Annexure D**

**Individual Affidavits to be given by ALL the Legal Heirs OR Legal Heirs named in Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of Administration\*/ Legal Heirship Certificate\*(or its equivalent certificate)\*/Court Decree\***

**(For Transmission of securities on death of Sole Holder where  
NO NOMINATION has been registered)**

*Each Deponent (legal heir) shall sign separate Affidavits.*

**(To be executed on a non-judicial stamp of appropriate value and Notarized)**

I, \_\_\_\_\_ Son / daughter of \_\_\_\_\_ residing at \_\_\_\_\_

\_\_\_\_\_ do hereby solemnly affirm and state on oath as follows.  
That Mr. /Mrs. \_\_\_\_\_ @ ("the deceased holder") held the following securities in his / her name as single holder:

Company Name	Folio No.	No. of securities held
1)		
2)		
3)		

That the aforesaid deceased holder died *intestate* leaving behind him/her, the following persons as the only surviving heirs as per the Succession Certificate/ Legal Heirship Certificate(or its equivalent certificate)/Court Decree dated \_\_\_\_\_ / according to the Law of Intestate Succession by which he/she was governed at the time of his/her death and without registering any nominee.\*

OR

That the aforesaid deceased holder died leaving behind the following persons as the legatees as per the Will/ Probated Will/ Letter of Administration dated \_\_\_\_\_ and without registering any nominee.\*

A copy of the **Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of Administration\*/ Legal Heirship Certificate\*(or its equivalent certificate)\*/ Court Decree\*** is attached herewith.

Name of the Legal Heir(s)	Address and contact details	Age	Relation with the Deceased
1)			
2)			

3)

That among the aforesaid legal heirs, Master/  
Kum. \_\_\_\_\_ aged \_\_\_\_\_ years is a minor and is being  
represented by Mr./Ms. \_\_\_\_\_ \$ being his / her father / mother /  
legal guardian.

Signature of the Deponent:

X \_\_\_\_\_

**VERIFICATION**

I hereby solemnly affirm and state that what is stated herein above is true and correct  
and nothing has been concealed therein and that we I am competent to contract and  
entitled to rights and benefits of the abovementioned securities of the deceased.

**Solemnly affirmed at**

X \_\_\_\_\_

**Signature of the Deponent:**

**Signed before me**

Place: \_\_\_\_\_

Date : \_\_\_\_\_

X \_\_\_\_\_  
Signature of Notary with Official Seal of  
Notary& Regn. No.

\* *strikeout whichever is not applicable*

# = *Name of the legal heir* @ = *Name of the deceased security holder*

\$ = *Name of the Guardian*

Note: **To be executed in the presence of a Public Notary / Gazetted Officer**

**Bond of Indemnity to be furnished jointly by all Legal Heir(s) including the Claimant(s)**  
**(To be submitted on Non-judicial Stamp Paper of appropriate value)**

**[For Transmission of Securities on death of Sole Securities' Holder, where no nomination has been registered]**

I/We do hereby solemnly affirm and state on oath as follows:

That Mr. /Ms. \_\_\_\_\_ Name of the deceased holder \_\_\_\_\_ was holding the following securities:

Name of the Company	Certificate No.	Distinctive No.	Folio No.	No. of securities held
1				
2				
3				
4				

That the aforesaid deceased holder died *intestate* on \_\_\_\_\_, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of intestate succession applicable to him/her by which he/she was governed at the time of his/her death.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			
2			
3			
4			

OR

That the aforesaid deceased holder died on \_\_\_\_\_, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of testamentary succession.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			
2			
3			

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein has/have, approached \_\_\_\_\_ (Name of the Company/RTA) with a request to transmit the aforesaid securities in the name of the undersigned Mr. /Ms. [Name(s) of the legal heir(s)/claimant(s)] #, on my/our behalf, without insisting on production of a Succession Certificate/ Probate of Will / Letter of Administration or any Court order, for which we execute an indemnity as is herein contained and on relying on the information herein given by us, believing the same to be true.

In consideration therefore of my/our request to transfer/transmit the above said securities to the name of the undersigned Mr. /Ms. [Name(s) of the legal heir(s)/claimant(s)] #,

I/We hereby jointly and severely agree and undertake to indemnify and keep indemnified, saved, defended, harmless, [Name of the Company/ Issuer and any RTA] and its successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which they may suffer and/or incur by reason of transferring the said securities as herein above mentioned, at my/our request to the undersigned Mr./Ms. [Name(s) of the legal heir(s)/claimant(s)] #, without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court order.

IN WITNESS WHEREOF the said 1) Mr. /Ms. \_\_\_\_\_ (Name and signature of the witness)

And 2) Mr. /Ms. \_\_\_\_\_ Name and signature of the witness \_\_\_\_\_ #, have hereunto set their respective hands and seals this day of \_\_\_\_\_ . Signed and delivered by the said legal heir/s.

Name the Legal Heirs	Signature of the Legal Heirs
1	X
2	X
3	X

(\*) = Name of the deceased security holder (#) = Name of the claimant/s

Signed before me

at: \_\_\_\_\_

on: \_\_\_\_\_

Signature of Notary

Official stamp & seal of the Notary & Regn. No.:

**Note: To be executed in the presence of a Public Notary / Gazetted Officer**

[To be submitted in non-judicial stamp paper of appropriate value]

**No-Objection Certificate from the Legal Heir(s)**

**Format of NOC from other Legal Heir(s) for Transmission of Securities in favour of the Claimant(s) wherein the Sole Holder is deceased and NO NOMINATION has been registered**

**DECLARATION**

I/We, the legal heir(s) of late Mr. / Ms \_\_\_\_\_ (name of the deceased holder) declare as follows –

- (i) That the above named deceased holder was holding the following securities in his / her name as single holder:

Name of the Company	Folio No.	No. of securities held
1)		
2)		
3)		

- (ii) That the deceased had died intestate on D D / M M / Y Y Y Y and without registering any nominee.

- (iii) That the following Claimant(s) has/have applied for the transmission of the aforesaid securities:

Name of the Claimant(s)	Address and contact details	Age	Relationship with the deceased
1)			
2)			
3)			

- (iv) That I / We are the legal heir(s) of the deceased holder, apart from the Claimant(s) who has/ have applied for transmission of the aforesaid securities and our details are as follows:

Name of the Legal Heir(s)	Address and contact details	Age	Relationship with the deceased
1)			
2)			
3)			

(v) I / we hereby declare that, I / we do not desire to make any claim in respect of the title to the aforesaid securities held by the deceased and I / we hereby wilfully relinquish & renounce all my /our rights in respect of the aforesaid securities and shall have no legal claim upon said securities in future.

(vi) Accordingly, I / we declare that I / we have NO OBJECTION WHATSOEVER in \_\_\_\_\_ (Name of the Company) transmitting the aforesaid securities in favour of the Claimant(s) Mr. / Ms. \_\_\_\_\_.

(vii) I / we hereby state that whatever is stated herein above are true to the best of my/our knowledge and nothing has been concealed therein.

Name(s) and Signature(s) of Legal Heir(s) who are Non – Claimant(s):

1) \_\_\_\_\_  
2) \_\_\_\_\_  
3) \_\_\_\_\_

#### **VERIFICATION**

We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the above mentioned securities.

Solemnly affirmed at \_\_\_\_\_

Deponent(s) (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_

# Form ISR – 1

(see SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated November 03, 2021  
on Commonand 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"/> Postal Address	<input type="checkbox"/> Signature	<input type="checkbox"/> Demat Acct details
<input type="checkbox"/> Bank details	<input type="checkbox"/> E-mail address	<input type="checkbox"/> Mobile number	

**B. Security Details:**

Name of the Issuer Company / Unit Name		
Ledger Folio No.		
Name(s) of the Security holder(s) As per the Certificate(s)	1.	
	2.	
	3.	
Number of Shares		
Face Value of Securities	Face Value of Rs. ___/-	
Distinctive number of Securities	From:	To:

**C. I / We are submitting documents as per Table below:**

(Tick ✓ as relevant, refer to the instructions):

	Document / Information / Details ✓	Instruction / Remark
1	PAN of (all) the (joint) holder(s)	
	<b>PAN</b> 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 31,2021* For Exemptions / Clarifications on PAN, please refer to ObjectionMemo in page 4
2	<b>Demat Account Number</b>	Also provide Client Master List ( <b>CML</b> ) of your Demat Account, provided by the Depository Participant ( <b>DP</b> ).

3	Proof of Address of the first holder	<p>Provide any one of the documents, only if there is change in the address;</p> <ul style="list-style-type: none"> <li>● Client Master List (CML) of your Demat Account, provided by the Depository Participant (DP).</li> <li>● Valid Passport / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill.</li> <li>● Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill-Not more than 3 months old.</li> <li>● 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.</li> <li>● 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.</li> <li>● The proof of address in the name of the spouse</li> </ul>
4	Bank details	<p>Provide the copy of the bank statement with details of bank name, branch, account number and IFS Code <b>or</b> copy of cheque leaf.</p> <p>Alternatively, Bank details available in the CML will be updated in the folio.</p>
5	E-mail address	<p>Alternatively the e-mail address available in the CML will be updated in the folio.</p> <p><b>E-Mail-ID:</b></p>
6	Mobile	<p>Alternatively the mobile number available in the CML will be updated in the folio.</p> <p><b>Mobile No.:</b></p>
7	SpecimenSignature	<ul style="list-style-type: none"> <li>● Provide banker's attestation of the signature of the holder(s) as per <a href="#">Form ISR-2</a> in SEBI circular <a href="#">SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655</a>.</li> <li>● Original cancelled cheque.</li> </ul>
8	Nomination**	<ul style="list-style-type: none"> <li>● <u>Providing Nomination:</u> Please submit the duly filled up Nomination Form (<a href="#">SH-13</a>) <b>or</b> 'Declaration to Opt out of Nomination' as per <a href="#">Form ISR-3</a> in SEBI circular <a href="#">SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655</a>.</li> <li>● <u>Change in Existing Nomination:</u> Please use <a href="#">Form SH-14</a> in SEBI circular <a href="#">SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655</a>.</li> <li>● <u>Cancellation of Existing Nomination:</u> Please use <a href="#">Form SH-14</a> and <a href="#">Form ISR-3</a>.</li> </ul>

\* or any date as may be specified by the CBDT

\*\* 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.

## **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.

### **Notes:**

- 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).
- Upon receipt or up-dation of bank details, the RTA automatically, pay electronically, all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.
- 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.
- RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.

**Authorization:** I / We authorise you (RTA) to update the above PAN and KYC details in my / our folio (s) \_\_\_\_\_, in which I / We are the holder(s) (strike off what is not applicable).

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

	<b>Holder 1</b>	<b>Holder 2</b>	<b>Holder 3</b>
Signature	✓	✓	✓
Name	✓	✓	✓
Full postal address of sole/first share holder	✓		
PINCODE	✓		

(Page 4 is for information to investors; print out of the same is not needed.)

## ***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 amismatch / 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 <a href="#">SEBI circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011 on Uniform Know Your Client (KYC) Requirements for the Securities Market</a> , 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	<ul style="list-style-type: none"><li>• Banker's attestation of the signature of the holder(s) as per <a href="#">Form ISR-2</a></li><li>• Original cancelled cheque</li></ul>
4	Mismatch in Name	Furnish any one of the following documents, explaining the difference in names; <ul style="list-style-type: none"><li>• Unique Identification Number (UID) (Aadhaar)</li><li>• Valid Passport</li><li>• Driving license</li><li>• PAN card with photograph</li><li>• 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</li><li>• Marriage certificate</li><li>• Divorce decree</li></ul>
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. If the letters sent to either the old and or new addresses is / are undelivered or if there is an objection in response to this letter, then provide any one of the following; <ul style="list-style-type: none"><li>• any one of the documents in row 3 in <b>Table C</b>, reflecting the old address or</li><li>• Counterfoil of dividend warrant received from the company or</li><li>• Bank statement showing the credit of previous dividend received</li></ul> The above procedure will be applicable for request for change in address of the holder also

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

## 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**

1. Bank Name and Branch	
2. Bank contact details Postal Address Phone number E-mail address IFSC Code & 9 Digit ECS MICR Code	
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)	

1 <sup>st</sup> Holder	2 <sup>nd</sup> Holder	3 <sup>rd</sup> Holder

7. Account holder(s) details as per Bank Records		
a) Address		
b) Phone number		
c) Email address		
d) Signature(s)		
1)	2)	3)

Signature verified as recorded with the Bank

Seal of the Bank

	(Signature)
Place:	Name of the Bank Manager
	Employee Code
Date:	E-mail address

## 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 Commonand 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 11Bof SEBI Act, 1992 and Clause C in Schedule VII and Regulation 101 of SEBI (Listing Obligationsand 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 No.

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 / ouraforsaid 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 No.SH- 13**  
**Nomination Form**

**(Pursuant to Section 72 of the Companies Act, 2013 and rule 19(1) of the Companies ( Share Capital and Debenture)Rules, 2014)**

NAME OF THE COMPANY :  
 ADDRESS OF THE COMPANY :

I/ we ..... the 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)**

<b>Nature of Securities</b>	<b>Folio No.</b>	<b>No. of Securities</b>	<b>Certificate No.</b>	<b>Distinctive No</b>

**2) PARTICULARS OF NOMINEE/S –**

- 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 the Security holder : .....
- i) Specimen Signature of the nominee : .....

**3) IN CASE NOMINEE IS A MINOR –**

- a) Date of Birth : .....
- b) Date of Attaining majority : .....
- c) Name of guardian : .....
- d) Address of guardian : .....

Name of all the holder(s) (as appearing on the Certificate(s) )		Signature as per specimen recorded with Company
Sole/ 1 <sup>st</sup> holder		
2 <sup>nd</sup> holder		
3rd holder		
4 <sup>th</sup> holder		

Signature of two Witnesses:

Complete Name and Address		Signature with date
1.		
2.		

P.T.O.

**INSTRUCTIONS:**

[Please read the instructions given below very carefully and follow the same to the letter. If the form is not filled as per instructions, the same will be rejected.]

1. **The Nomination can be made by individuals only** applying/holding shares/debentures on their own behalf singly or jointly. Non-individual including Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the shares are held jointly all joint holders will sign the nomination form. Space is provided as a specimen, if there are more joint holders more sheets can be added for signatures of holders of shares/ debentures and witness.
2. A minor can be nominated by a holder of shares/debentures/deposits and in that event the name and address of the Guardian shall be given by the holder.
3. The nominee shall not be a trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family, or a power of attorney holder. A non-resident Indian can be a nominee on re-patriable basis provided RBI approval granted to the nominee is registered with the Company.
4. Transfer of shares/debentures in favor of a nominee and repayment of amount of deposit to nominee shall be a valid discharge by a company against the legal heir to the exclusion of any disposition or testamentary document in respect of the securities.
5. **Only one person can be nominated for a given folio.** In case you have many folios, then you may take a photocopy of this form and nominate separately
6. Details of all holders in a folio need to be filled; else the request will be rejected.
7. The nomination will be registered only when it is complete in all respects including the signature of (a) all registered holders (as per specimen lodged with the company) and (b) the nominee.
8. Whenever the Shares in the given folio are entirely transferred or transposed with some other folio, then this nomination will stand rescinded.
9. Upon receipt of a duly executed nomination form, the registrar and Transfer Agent of the company will register the form and allot a registration number. This number and folio no. should be quoted by the nominee in all future correspondence.
10. The nomination can be varied or cancelled by executing fresh nomination form.
11. Nomination for only one folio can be made on this form. In case the shares are held jointly by more than one person that the joint holders together may nominate any person in whom all rights shall vest in the event of death of all the joint holders.
12. The Company will not entertain any claims other than those of a registered nominee, unless so directed by a Court.

13. If any joint holder is deceased, then please attach a certified true copy of Death Certificate.

FOR OFFICE USE ONLY	
Nomination Registration Number	
Date of Registration	
Checked by and Signature of Employee	