**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:** \_\_ /\_\_\_ /\_\_\_\_\_\_

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

| PAN | Postal Address |
| --- | --- |
| Bank details | E-mail address |
| Signature | Mobile number |
| Demat Account details |  |

**B. Security Details:**

| Name of the Issuer Company | {companyName} | Folio No.: {Folios} |
| --- | --- | --- |
| Name(s) of the Security holder(s) as per the Certificate(s) | 1. {#hasShareholder\_1}{namePan\_1}{/hasShareholder\_1}  2. {#hasShareholder\_2}{namePan\_2}{/hasShareholder\_2}  3. {#hasShareholder\_3}{namePan\_3}{/hasShareholder\_3} | |
| Number & Face value of securities | {totalNoOfShares}  Rs. {totalFaceValue} | |
| Distinctive number of securities | {distinctiveNos} | |

**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) | | |
|  |  | PAN  Whether it is  Valid (linked to  Aadhaar):  Yes  No | {#hasShareholder\_1}{pan\_1}{/hasShareholder\_1}  {#hasShareholder\_2}{pan\_2}{/hasShareholder\_2}  {#hasShareholder\_3}{pan\_3}{/hasShareholder\_3}  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 | {#hasShareholder\_1}{dematAccountNo\_1}{/hasShareholder\_1}  {#hasShareholder\_2}{dematAccountNo\_2}{/hasShareholder\_2}  {#hasShareholder\_3}{dematAccountNo\_3}{/hasShareholder\_3}  Also provide Client Master List (**CML**) of your Demat Account,  provided by the Depository Participant. |

| 3 |  | Proof of Address of the first holder | Provide any one of the documents, only if there is change in the address;   * Client Master List **(CML)** of your Demat Account, provided by the Depository Participant * Unique Identification Number (UID) (Aadhaar) * Valid Passport / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill. * Utility bills like Telephone Bill (only land line) , Electricity bill or Gas bill - Not more than 3 months old. * 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   * 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.   * Proof of address in the name of the spouse accompanied with self attested copy of Identity Proof of the spouse. |
| --- | --- | --- | --- |
| 4 |  | Bank details *(to be updated for first holder in case of joint*  *holding)* | ACCOUNT NUMBER: {#hasShareholder\_1}{bankAccountNo\_1}{/hasShareholder\_1}  BANK NAME: {#hasShareholder\_1}{bankName\_1}{/hasShareholder\_1}  BRANCH NAME:  IFS CODE: {#hasShareholder\_1}{bankIFS\_1}{/hasShareholder\_1}  original cancelled cheque with name of security holder printed on it or Bank  Passbook or Bank Statement attested by the Bank # |
| 5 |  | E-mail  address | {#hasShareholder\_1}{email\_1}{/hasShareholder\_1}  Alternatively the E-mail Address available in the CML will be updated in the folio |
| 6 |  | Mobile | {#hasShareholder\_1}{phone\_1}{/hasShareholder\_1}  Alternatively the mobile number available in the CML will be updated in the folio |
| 7 |  | Specimen  Signature | * Provide the banker’s attestation of the signature of the holder(s) as per   **Form ISR - 2** in SEBI circular SEBI/HO/MIRSD\_RTAMB/P/CIR/2021/655 dated November 03, 2021) and   * Original cancelled cheque |
| 8 |  | Nomination\*\* | * 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 dated November 03,2021 * Cancellation of Existing Nomination: Please use **Form SH-14** and **Form ISR - 3** |

\* or any date as may be specified by the CBDT (DP: Depository Participant)

\*\*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.

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.

|  | **Holder 1** | **Holder 2** | **Holder 3** |
| --- | --- | --- | --- |
| Signature |  |  |  |
| Name | {#hasShareholder\_1}{namePan\_1}{/hasShareholder\_1} | {#hasShareholder\_2}{namePan\_2}{/hasShareholder\_2} | {#hasShareholder\_3}{namePan\_3}{/hasShareholder\_3} |
| Full address | {#hasShareholder\_1}{addressBank\_1}{/hasShareholder\_1} | {#hasShareholder\_2}{addressBank\_2}{/hasShareholder\_2} | {#hasShareholder\_3}{addressBank\_3}{/hasShareholder\_3} |
| PIN | {#hasShareholder\_1}{pan\_1}{/hasShareholder\_1} | {#hasShareholder\_2}{pan\_2}{/hasShareholder\_2} | {#hasShareholder\_3}{pan\_3}{/hasShareholder\_3} |

**Form ISR – 2**

*(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)*

**Confirmation of Signature of securities holder by the Banker**

| 1. Bank Name and Branch | {#hasShareholder\_1}{bankName\_1}{/hasShareholder\_1} |
| --- | --- |
|  |  |
| 2. Bank contact details  Postal Address  Phone number  E-mail address | {#hasShareholder\_1}{bankAddress\_1}{/hasShareholder\_1}  {#hasShareholder\_1}{bankPhone\_1}{/hasShareholder\_1}  {#hasShareholder\_1}{bankEmail\_1}{/hasShareholder\_1} |
|  |  |
| 3. Bank Account number | {#hasShareholder\_1}{bankAccountNo\_1}{/hasShareholder\_1} |
|  |  |
| 4. Account opening date |  |
|  |  |
| 5. Account holder(s) name(s) | {#hasShareholder\_1}{bankAccountNo\_1}{/hasShareholder\_1} |
|  |  |
| 6. Latest photograph of the account holder(s) | |
|  |  |
| 7. Account holder(s) details as per Bank Records | |
| a) Address | {#hasShareholder\_1}{addressBank\_1}{/hasShareholder\_1} |
| b) Phone number | {#hasShareholder\_1}{phoneBank\_1}{/hasShareholder\_1} |
| c) Email address | {#hasShareholder\_1}{emailBank\_1}{/hasShareholder\_1} |
| 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 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 , the holder(s) of the securities particulars of which are given here under 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.** |
| --- | --- | --- | --- | --- |
| {#Folio}{equityType} | {Folio} | {noOfShares} | {certificateNumber} | {distinctiveNosFrom}-{distinctiveNosTo}{/} |

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

**First Holder Name**

| Name and Address of Witness | Signature |
| --- | --- |
|  |  |

| **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:

| **Name of the Claimant(s):** |
| --- |
| Name of the Guardian *in case the claimant is a minor*→ Date of Birth of the minor\*  Mr./Ms.\_  Relationship with Minor:  Father  Mother  Court Appointed Guardian\* |
| |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |   **[Multiple PAN may be entered]** PAN Claimant(s)/Guardian):  KYC Acknowledgment attached  KYC form attached |
| Tax Status: Resident Individual Resident Minor (through Guardian) NRI PIO  Others (please specify) |

*\*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 | |
| --- | --- |
| **Name of the deceased holder(s)** | **Date of demise\*\*** |
|  |  |

*\*\*Please attach notarised 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**@** |
| --- | --- | --- | --- |
|  |  |  | 100 |

***@****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 : Tel. No. -** |
| --- |
| **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 (✓) SB Current NRO NRE 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)

| **Occupation**  Private Sector Service Public Sector Service Government Service Business Professional  Agriculturist Retired Home Maker  Student Forex Dealer  Others\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Please specify) |
| --- |
| The Claimant is  a Politically Exposed Person Related to a Politically Exposed Person  Neither (Not applicable) |
| **Gross Annual Income** (₹) Below 1 Lac 1-5 Lacs 5-10 Lacs10-25 Lacs 25 Lacs-1crore >1 crore |

# FATCA and CRS information

| Country of Birth: Place of Birth :  Nationality: | | |
| --- | --- | --- |
| Are you a tax resident of any country other than India? Yes 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, undertake to keep 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 hereby authorize and its RTA to provide/ share any of the information provided by me/us including my holdings in the to any governmental or statutory or judicial authorities/agencies as required by law without any obligation of informing me/us of the same.

| Place:  Date | Signature of Claimant(S) |
| --- | --- |

**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:\_\_\_ /\_\_\_ /\_\_\_\_\_\_

1. **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 : | 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 in SEBI circular dated November 03, 2021.

B. 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 |
| Transposition (Mention the new order of holders here) | |

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) |  |
| --- | --- |
| 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) |
| --- | --- |

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 | |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | |

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.