# 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: \_\_\_\_\_/ \_\_\_\_\_\_

Α.	1/	We request you to Register / Char	nge /	Update the follow	ing (Tick ✔ relevar	nt box)	
		☐ PAN			☐ Postal Address		
		☐ Bank details			☐ E-mail address		
		☐ Signature			☐ Mobile numbe	er	
☐ Demat Account detail			iils				
В.	Sed	curity Details:					_
N	lame c	of the Issuer Company				Folio No.:	
		s) of the Security s) as per the Certificate(s)				1. 2. 3.	
N	lumbe	r & Face value of securities					
	istinct	ive number of securities				From	To
c.	1/	We are submitting documents as	per -	Table below (tick	as relevant, refer	to the instructions):	
	✓	Document / Information /	Inst	ruction / Remark			
		Details					
1	PAN	of (all) the (joint) holder(s)					
		PAN Whether it is Valid (linked to					
		Aadhaar): □ Yes □ No	1			adhaar by March 31, 20 please refer to Objectio	
2		Demat Account Number	Also		Master List (CML)		ount, provided by the
3		Proof of Address of the first				if there is change in th	e address;
		holder					ded by the Depository
			•		ation Card / Regist lat Maintenance b		reement of Residence /
					ephone Bill (only l		ll or Gas bill - Not more
			•	State Governmen	t and its Departme		the following: Central/ itory Authorities, Public Financial Institutions.
				Custodians (which		d and / or apostilled or	/ sub- account to the consularised) that gives
			•	The proof of addr	ess in the name of	the spouse	

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4	Bank details	Provide the copy of the bank statement with details of bank name, branch, account				
		number and IFS Code or copy of cheque leaf.				
		Alternatively, Bank details available in the CML will be updated in the folio.				
5	E-mail address					
		Alternatively the e-mail address available in the CML will be updated in the folio				
6	Mobile					
		Alternatively the mobile number available in the CML will be updated in the folio				
<del></del>		Alternatively the mobile number available in the CML will be updated in the folio  • Provide hanker's attestation of the signature of the holder(s) as per Form ISR = 3				
7	Specimen Signature	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 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				

<sup>\*</sup> or any date as may be specified by the CBDT

#### 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:

- 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.

	Holder 1	Holder 2	Holder 3
Signature	✓	✓	✓
Name	✓	✓	✓
Full postal address	✓	✓	✓
PIN	✓	✓	✓

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

# 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						
3	Bank Account number						
4	Account opening date						
5	Account holder(s) name	e(s)		1)			
				2)			
				3)			
6	Latest photograph of th	ne account hold	ler(s)				
		1			1		
				2 <sup>nd</sup> Holder		3 <sup>rd</sup> Holder	
	1 <sup>st</sup> Holder						
					]		
7	Account holder(s) detai	Records					
	a) Address						
	b) Phone number						
	c) Email address						
	d) Signature(s)						
	1)		2)		3)		
	Seal of the Bank			Signature ve	erified as recorded wit	th the Bank	
					(Sign	ature)	
Place	e:	Name of the	Bank Mana	ger:	, 0		
		Employee Co		-			
Date	2:	E-mail addres					

Form No. SH-13 Nomination Form [Pursuant to section 72 of the Companies Act, 2013 and rule

		19(1) of the Companies	(Share Cap	ital and Deber	ntures) Rul	les 2014]		
	e of the company: ress of the company:							
to m	eake nomination and do he e event of my/our death.							
(1)	PARTICULARS OF THE SEC	CURITIES (in respect of v	which nomir	nation is being	made)			
	Nature of securities	Folio No.	No. of	securities	Certif	icate No.	Distin	ctive No.
(2)	PARTICULARS OF NOMIN	EE/S —					<u> </u>	
	<ul> <li>(a) Name:</li> <li>(b) Date of Birth:</li> <li>(c) Father's/Mother's/S</li> <li>(d) Occupation:</li> <li>(e) Nationality:</li> <li>(f) Address:</li> <li>(g) E-mail id:</li> <li>(h) Relationship with the</li> </ul>	ne security holder:						
(3)	<ul><li>(a) Date of birth:</li><li>(b) Date of attaining ma</li><li>(c) Name of guardian:</li><li>(d) Address of guardiar</li></ul>	ajority						
<u>Nam</u>	e(s) and Address of Securi	ty holders(s)				<u>Signatu</u>	ire(s)	
Sole	/ First Holder Name:			=				
Add	ress:			-				
Seco	nd Holder Name:			-				
Add	ress:			-	_			
Thire	d Holder Name:			-				
Add	ress:			-	_			
	Name and Ad	dress of Witness				Signature		

# 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 (Share Capital and Debentures) Rules 2014]

Name of	the	com	pany	<b>/</b> :
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I/We hereby cancel the nomination(s) made by me/us in favo	r of (name and address of the nominee) in respect of the below
mentioned securities.	

or

I/We	hereby	nominate	the	following	person	in	place	of	as nominee in
respec	t of the	below ment	ioned	securities i	in whom	shal	ll vest al	II rię	ghts 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 No.

(2)	(a)	PART	ICULARS OF TH	HE NEW NOMINEE::		
		i.	Name:			

- ii. Date of Birth:
- iii. Father's/Mother's/Spouse's name:
- iv. Nationality:
- v. Address:
- vi. E-mail id:
- vii. Relationship with the Security holder:

Name and Address of Witness

- (b) IN CASE NEW NOMINEE IS A MINOR--
  - (i) Date of birth:
  - (ii) Date of attaining majority
  - (iii) Name of guardian:
  - (iv) Address of guardian:

Signature

#### 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, <u>do not wish to nominate</u> 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) Certificate No. **Nature of securities** Folio No. No. of securities 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 / our aforesaid securities. Name(s) and Address of Security holders(s) Signature(s) Sole / First Holder Name: Address: Second Holder Name: \_\_\_\_\_ Address: Third Holder Name: Address:\_\_\_\_\_ Name and Address of Witness Signature