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]

	PAN	☐ Bank details	Signature
	Mobile number	☐ E-mail ID	Address
Secu	rity Details:		
	ne of the Issuer Company		Folio No.:
	ne(s) of the Security holder(s) 1.	
	per the Certificate(s)	2.	
		3.	
	nber & Face value of securit	es	
	inctive number of securities tional)	From	То
/ w	/e are submitting documen	s as per Table below (tick ✓as relevant,	refer to the instructions):
	Document / Information / Details	Instruc	tion / Remark
1	PAN of (all) the (joint) hold	er(s)	
	Whether it is Valid (linked to Aadhaar): ☐ Yes ☐No	PAN shall be valid only if it is linked to A For Exemptions / Clarifications on PAN,	Aadhaar by June 30, 2023* please refer to Objection Memo in Page 4
2	Demat Account		
	Number (Optional)	Also provide Client Master List (CML Depository Participant.	.) of your Demat Account, provided by
3	Proof of Address of the first holder	Any one of the documents, only if there	e is change in the address;
		☐ Unique Identification Number (UID) (Aadhaar)
		☐ Valid Passport/ Registered Lease or	Sale Agreement of Residence / Driving Lic
		Flat Maintenance bill accompanied Proof of the holder/claimant.	d with additional self-attested copy of Ide
		Utility bills like Telephone Bill (only than 3 months old.	land line)/ Electricity bill / Gas bill - Not r
		State Government and its Departme	dress, issued by any of the following: Cer ents, Statutory / Regulatory Authorities, Pommercial Banks, Public Financial Institundate and organisation stamp
			Attorney given by FII / sub-account to zed and / or apostilled or consularised) be taken.
		Proof of address in the name of copy of Identity Proof of the spous	the spouse accompanied with self- atte e.
		Client Master List (CML) of the Den by the Depository Participant.	nat Account of the holder / claimant, prov

4	Bank details (to be updated for first holder in case of joint holding)	Account Number:# Bank Name: Branch Name: IFS Code:
		Provide the following: Original cancelled cheque bearing the name of the security holder; OR Bank passbook/statement attested by the Bank;
5	E-mail address	#
6	Mobile	#

(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):

S. 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).

^{*} or any date as may be specified by the CBDT

^{*}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

- 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.
- 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.
- 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.
- RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.

• Specimen	Option A		
Signature	i. Security holder shall provide the following documents:		
	(a) Original cancelled cheque with name of the security holder printed on it; or		
	(b) Self-attested copy of Bank Passbook/ Bank Statement;		
	and		
	ii. Banker's attestation of the signature of the same bank account as mentioned in (i) above		
	as per Form ISR - 2.		
	OR		
	Option B		
	 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. 		
• Nomination**	 Providing Nomination: Please submit the duly filled up Nomination Form (<u>SH-13</u>) or 'Declaration to Opt out of Nomination' as per <u>Form ISR-3</u>, in SEBI Circular No. SEBI/HO/ MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 		
	• Variation in Existing Nomination: Please use <u>Form SH-14</u>		
	 Cancellation of Existing Nomination and opting out: use <u>Form SH-14</u> & <u>Form ISR-3</u> 		

^{**} 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.

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

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 <u>SEBI circular No. MIRSD/SE/Cir-</u> 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	•	
4	Mismatch in Name	the same. Furnish any one of the following documents, explaining the difference in names; 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	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. 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	

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