

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: / /

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

<input type="checkbox"/> PAN	<input type="checkbox"/> Bank details	<input type="checkbox"/> Signature
<input type="checkbox"/> Mobile Number	<input type="checkbox"/> E-mail ID	<input type="checkbox"/> Address

B. Security Details:

Name of the Issuer Company		Folio No.:	
Name(s) of the Security holder(s) as per the Certificate(s)	1.		
	2.		
	3.		
Number & Face value of securities Distinctive number of securities (Optional)	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) PAN Whether it is Valid (linked to Aadhaar): <input type="checkbox"/> Yes <input type="checkbox"/> No	<div> <div> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </div> <div> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </div> </div> <p>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 4</p>
2	Demat Account Number (Optional)	<div> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </div> <p>Also provide Client Master List(CML) of your Demat Account, provided by the Depository Participant.</p>
3	Proof of Address of the first holder	<p>Anyone of the documents, only if there is change in the address;</p> <p><input type="checkbox"/> Unique Identification Number (UID) (Aadhaar)</p> <p><input type="checkbox"/> Valid Passport/Registered Lease or Sale Agreement of Residence/ Driving License</p> <p><input type="checkbox"/> Flat Maintenance bill accompanied with additional self-attested copy of Identity Proof of the holder/claimant.</p> <p><input type="checkbox"/> Utility bills like Telephone Bill (only landline)/ Electricity bill/ Gas bill- Not more than 3 months old.</p> <p><input type="checkbox"/> 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 organization stamp</p> <p><input type="checkbox"/> 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.</p> <p><input type="checkbox"/> Proof of address in the name of the spouse accompanied with self-attested copy of Identity Proof of the spouse.</p> <p><input type="checkbox"/> Client Master List(CML) of the Demat Account of the holder/claimant, provided by the Depository Participant.</p>

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: <input type="checkbox"/> Original cancelled cheque bearing the name of the security holder; OR <input type="checkbox"/> Bank passbook/ statement attested by the Bank; # _____
5	E-mail address	# _____
6	Mobile	# _____

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

#In case it is not provided, the details available in the CML will be update din 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): In which I/We are the holder(s) (strike off what is not applicable).

Sl. No.	Name of the Issuer Company	Folio No.	Quantity of securities	Face value of securities	Distinctive number of securities (Optional)

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

	Holder1	Holder2	Holder3
Signature			
Name			
Full address			
PIN			

Mode of submission of documents to the RTA

Please use anyone of the following mode:

- 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.
- Through Post:** Hard copies of the documents which are self-attested.
- Through electronic mode with e-sign:** Service portal of the RTA with e-sign with scanned copies of documents, if the RTA is providing such facility.
- Through e-mail:** Furnish through e-mail address already registered with the RTA with e-sign of scanned copies of documents.

Note

<ul style="list-style-type: none"> 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 time lines 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. 	
<ul style="list-style-type: none"> Specimen Signature 	<p>Option A</p> <p>i. Security holder shall provide the following documents:</p> <p>(a) Original cancelled cheque with name of the security holder Printed on it; or</p> <p>(b) Self-attested copy of Bank Passbook/ Bank Statement; and</p> <p>ii. Banker's attestation of the signature of the same bank account</p> <p>As mentioned in (i) above as per Form ISR-2.</p> <p style="text-align: center;">OR</p> <p>Option B</p> <ul style="list-style-type: none"> 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.
<ul style="list-style-type: none"> Nomination** 	<ul style="list-style-type: none"> 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 No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 Variation in Existing Nomination: Please use Form SH-14 Cancellation of Existing Nomination and opting out; use Form SH-14 & Form ISR -3

**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 3&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 SEBI circular No. MIRSD/SE/Cir-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	<p>Option A</p> <p>i. Security holders shall provide the following documents:</p> <p>(a) Original cancelled cheque with name of the security holder printed on it; or</p> <p>(b) Self-attested copy of Bank Passbook/Bank Statement;</p> <p>and</p> <p>ii. Banker's attestation of the signature of the same bank account as mentioned in (i) above as per Form ISR -2</p> <p>OR</p> <p>Option B</p> <p>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 Circular No. 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.</p>
4	Mismatch in Name	<p>Furnish any one of the following documents, explaining the difference in names;</p> <ul style="list-style-type: none"> • 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	<p>In case the signature of the holder matches with the one available with the RTA, the request for change in address may be processed within the prescribed time lines.</p> <p>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</p>

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