

## 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:

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"/>	BANK DETAILS	<input type="checkbox"/>	E-MAIL ADDRESS
<input type="checkbox"/>	SIGNATURE	<input type="checkbox"/>	MOBILE NUMBER
<input type="checkbox"/>	DEMAT ACCOUNT NUMBER	<input type="checkbox"/>	

### B. Securities 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	From	To	

C. I / We are submitting documents as per Table below (tick ✓ as relevant, refer to the instructions) :

S.No.	<input checked="" type="checkbox"/>	Document / Information / Details	Instruction / Remark
1.		PAN of (all) the (joint holder(s) Whether it is linked to Aadhaar YES / NO	<b>PAN of First Holder :</b> <b>PAN of Second Holder , If any :</b> <b>PAN of Third Holder, if any :</b> PAN shall be valid only if it is linked to Aadhaar by March 31, 2021
2.		Demat Account Number	<b>Also provide</b> Client Master List ( <b>CML</b> ) of your Demat Account, provided by the Depository Participant, if any.
3.		Proof of Address of the first holder	Provide any one of the documents, only if there is change in the address; <ul style="list-style-type: none"><li>Client Master List (<b>CML</b>) of your Demat Account, provided by the Depository Participant</li><li>Valid Passport / Ration Card / Registered Lease or Sale</li></ul>

Company name

Folio no

Signature of first holder

			<p>Agreement of Residence / Driving License / Flat Maintenance bill.</p> <ul style="list-style-type: none"> <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>Account no :  Bank Name :  Branch :  9 digit MICR code :  IFS code :</p> <p>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.</p>
5.		E-mail address	<p>_____</p> <p>Alternatively the e-mail address available in the CML will be updated in the folio</p>
6.		Mobile	<p>_____</p> <p>Alternatively the mobile number available in the CML will be updated in the folio</p>
7.		Specimen Signature	<ul style="list-style-type: none"> <li>• Provide banker's attestation of the signature of the holder(s) as per <b>Form ISR - 2</b> in SEBI circular SEBI/HO/MIRSD/MIRSD_RTAM B/P/CIR/2021/655 dated November 03, 2021) and</li> <li>• Original cancelled cheque</li> </ul>
8.		Nomination**	<ul style="list-style-type: none"> <li>• Providing Nomination: Please submit the duly filled up Nomination Form (<b>SH-13</b>) or 'Declaration to Opt out of Nomination' as per <b>Form ISR - 3</b>, in SEBI circular SEBI/HO/MIRSD/MIRSD_RTAM B/P/CIR/2021/655 dated November 03, 2021</li> <li>• Change in Existing Nomination: Please use <b>Form SH-14</b> in SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021</li> <li>• Cancellation of Existing Nomination: Please use <b>Form SH-14</b> and <b>Form ISR - 3</b></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 furnished by the holder(s) separately for each listed company.

**Company name**

**Folio no**

**Signature of first holder**

**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 stipulated period 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) as mentioned above 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 the first holder. Attach copy of self attested proof of address as per S.No. 3 of the table above.			
PIN Code			

**Company name**

**Folio no**

**Signature of first holder**