Fo rm 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)

Ā PAN

Ā Bank details

Ā Signature

Ā Postal Address

Ā E-mail address

Ā Mobile number

ĀDemat Account details

B. **Security Details:**

Name of the Issuer Company

Folio No.:

Name(s) of the Security 1.

holder(s)

Certificate(s)

as

per

the 2.

3.

Number

&

Face value of

securities

Distinctive

securities

number of

From

To

C. **I / We are submitting documents as per Table below** (tick as relevant, refer to the

instructions):

 **Document /**

**Information /**

**Instruction / Remark**

**Details**

1 PAN of (all) the (joint) holder(s)

PAN

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PAN shall be valid only if it is linked to Aadhaar by March 31,

2021\*

Whether it is

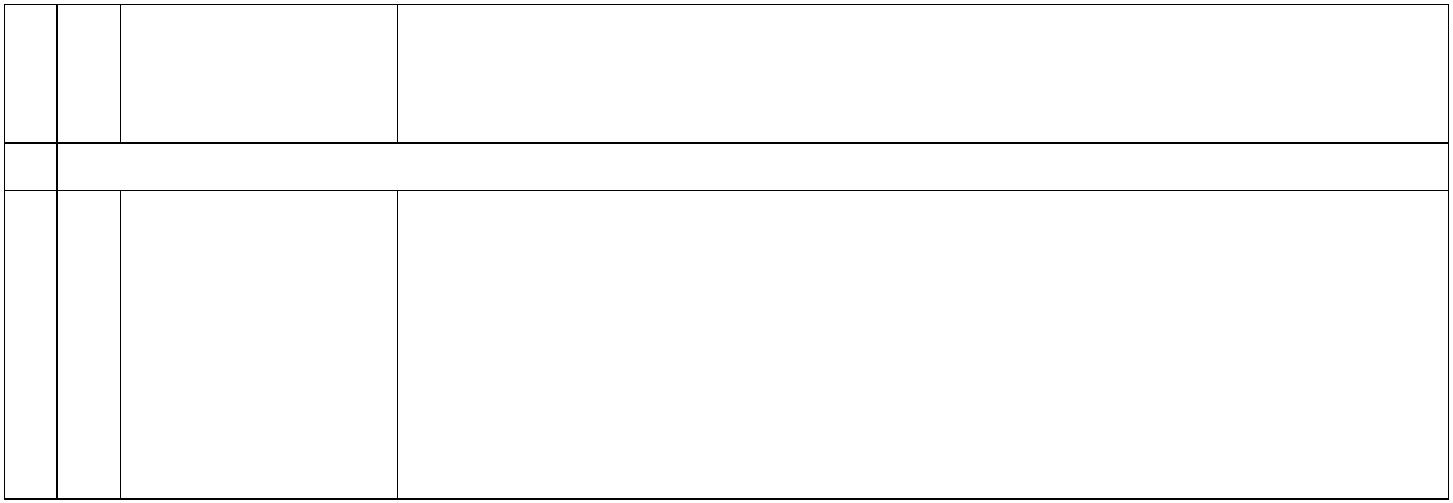
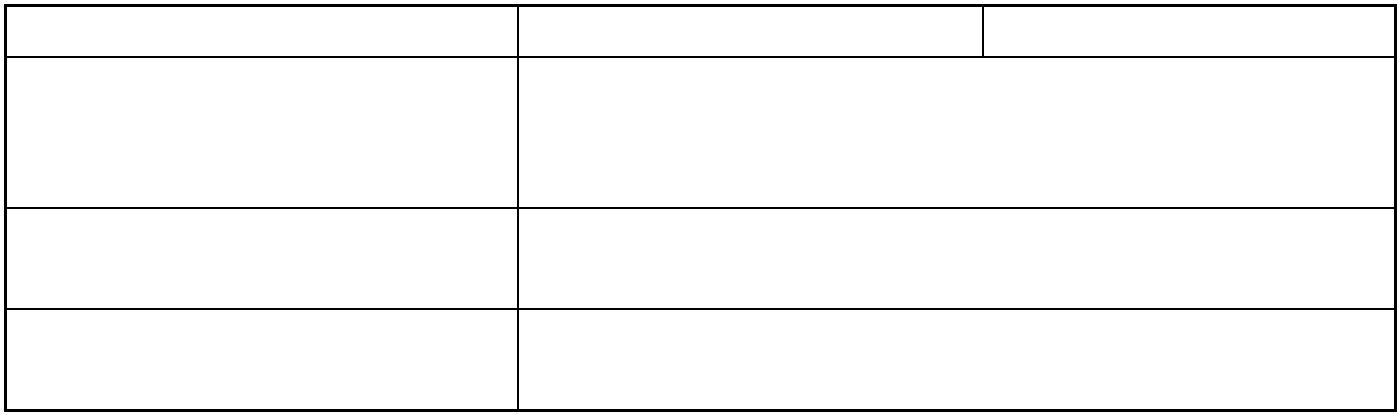
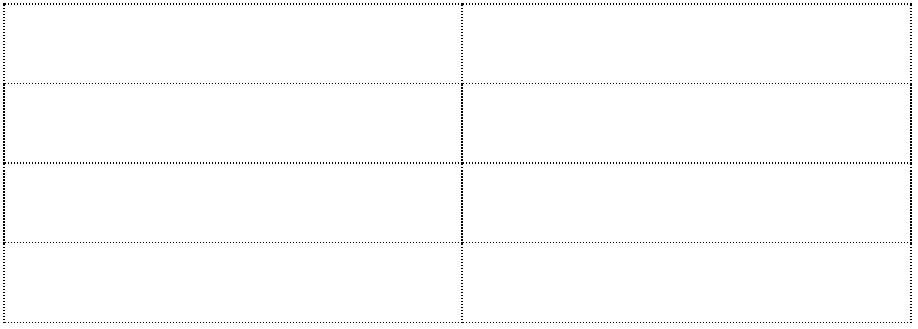
Valid (linked to

Aadhaar):

For Exemptions / Clarifications on PAN, please refer to Objection

Memo in page 4

 Yes



 No

2

3

Demat Account ĀĀĀĀĀĀĀĀĀ ĀĀĀĀĀĀĀĀ

Number

Also provide Client Master List (**CML**) of your Demat Account,

provided by the Depository Participant.

Proof

of Provide any one of the documents, only if there is change in the

Address of the address;

first holder



Client Master List (**CML**) of your Demat Account, provided by

the Depository Participant



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.

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.





The proof of address in the name of the spouse

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

6

7

E-mail address \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Alternatively the e-mail address available in the CML will be

updated in the folio

Mobile

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Alternatively the mobile number available in the CML will be

updated in the folio

Specimen

Signature



Provide banker’s attestation of the signature of the holder(s)

as

per

**Form**

**ISR**

**–**

**2**

in

SEBI

circular

dated

SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655

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

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

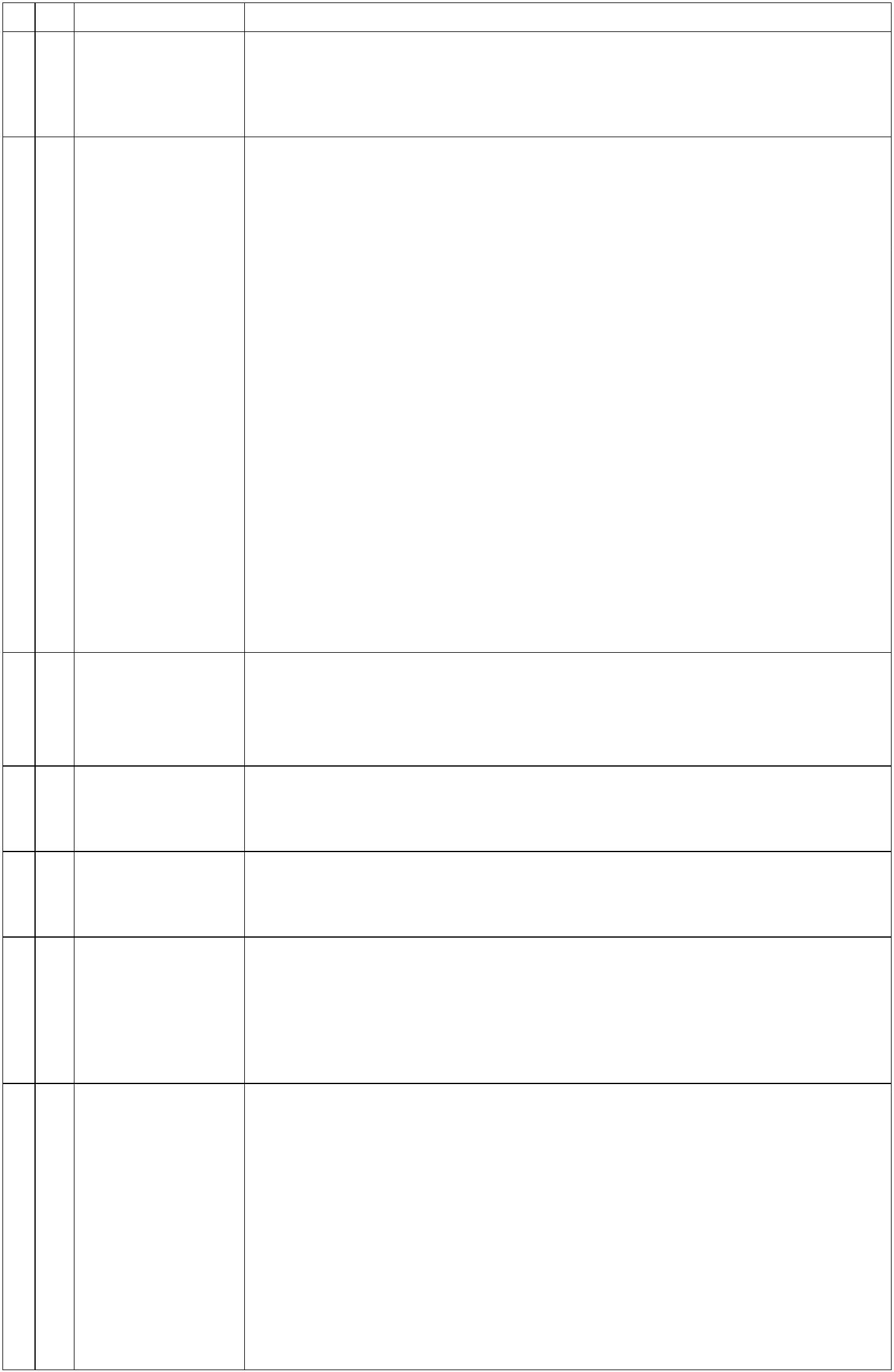
Cancellation of Existing Nomination: Please use **Form SH-14**

and **Form ISR – 3**

dated







\* 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.

**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









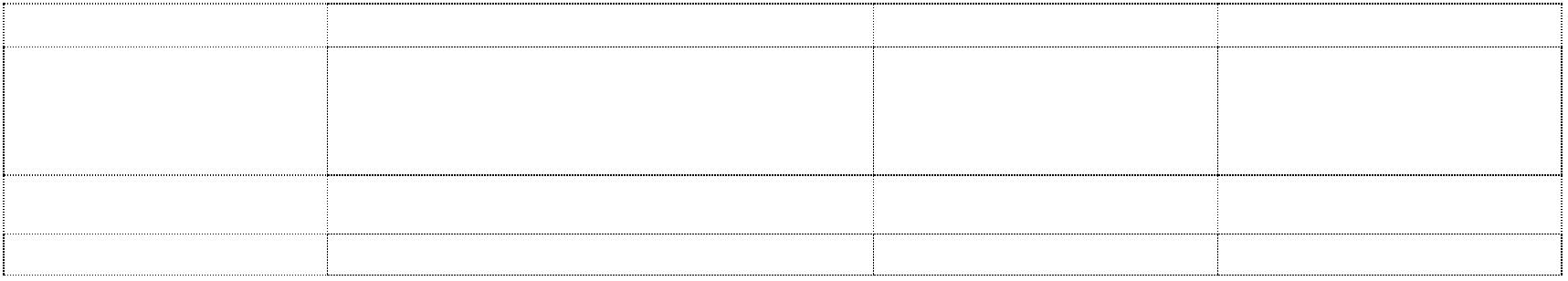


Name





Ful l postal address

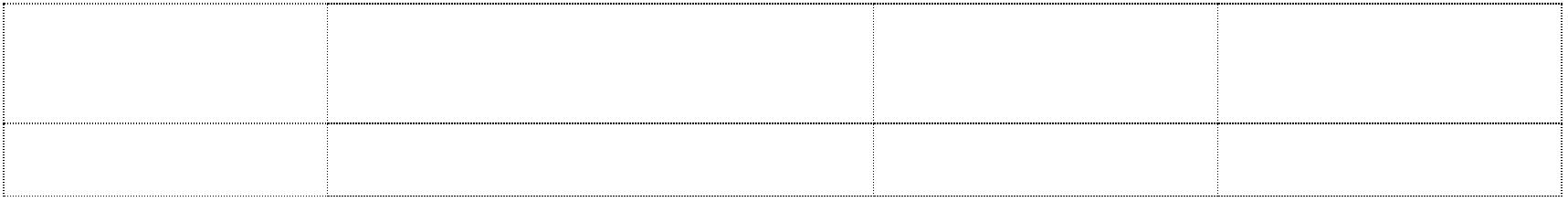


PIN

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

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



**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 ‘Exemptions/clarifications to PAN’, as provided in clause D to

Clarification

‘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

3

Minor mismatch in The RTA shall intimate the holder at the existing address, seeking

Signature - minor

objection, if any, within 15 days

Major mismatch in

Signature or its non-

availability with the

RTA



Banker’s attestation of the signature of the holder(s) as per **Form**

**ISR – 2**

Original cancelled cheque



4

Mismatch in Name

Furnish any one of the following documents, explaining the difference

in names;











Unique Identification Number (UID) (Aadhaar)

Valid Passport

Driving license

PAN card with photograph

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

Marriage certificate





Divorce decree

5

Present address of RTA shall issue intimation to both the old and new addresses.

the holder is not If the letters sent to either the old and or new addresses is / are

matching with the undelivered or if there is an objection in response to this letter, then

address available in provide any one of the following;

the folio



any one of the documents in row 3 in **Table C**, reflecting the old

address or





Counterfoil of dividend warrant received from the company or

Bank statement showing the credit of previous dividend received

The above procedure will be appl i cabl e for request for change in

address of the holder also

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

