

**GUIDELINES FOR EQUITY
SHAREHOLDERS**

FOREWORD

IFCI has a large family of Equity Shareholders and it has been our endeavor, since inception, to provide the most efficient service to our investors. However, it has been our experience that a lot of correspondence is exchanged between investors and Registrar and Share Transfer Agent / IFCI due to lack of complete information and investors are put to unnecessary hardship. In order to mitigate the difficulties experienced by the investors to the maximum extent possible, this manual has been prepared wherein procedure for transfer / transmission of shares, issue of duplicate share certificates / change of address, bank mandate, etc. have been explained. Besides, drafts of various letters which the investors are required to write to the Registrar and Share Transfer Agent /Company have been provided which we hope our investors would find very useful.

We hope that this manual would go a long way in solving investor grievances expeditiously.

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1. General Information for the Investors

1.1 All the correspondence relating to equity shares may be addressed to the Registrar and Share Transfer Agent (R&STA) of IFCI Equity Shares i.e. M/s. MCS Share Transfer Agent Ltd. (MCS), 179-180, 3rd Floor, DSIDC Shed, Okhla Industrial Area, Phase -I, New Delhi-110020.

Tel: 011 – 41406149, 41406150, 41406151

Email: helpdeskdelhi@mcsregistrars.com.

However, investors are free to write to IFCI in the matter.

1.2 Since all the data, correspondence, documents etc. is maintained by R&STA, substantive action/ reply is done by them. While sending their queries/grievances, investors should invariably quote the application no., folio no., certificate no., subject matter, etc. They should also indicate their full address including pin code and telephone/ Contact No. email id if any.

1.3 The Communication should be legible and preferably typed.

1.4 In case of valuable documents, same may be sent by registered post.

1.5 Please also keep photo-copies of application, share certificates, transfer deed and postal registration slip/acknowledgement etc, to facilitate future reference/queries.

1.6 NRI shareholder has to furnish RBI approval, where applicable. He/ She shall also give his/ her NRO/NRE bank account number with name and address of the bank to enable remittance of future dividend.

1.7 The Company endeavors to reply at the earliest but cases like transmissions, duplicate requests have complex procedure which may take some additional time.

1.8 These guidelines are for reference purpose only. Further, Investors are advised to follow the latest SEBI circulars w.r.t. issuance of duplicate share certificates, transmission, and KYC updation etc.

1.9 Please note that the R&STA may request additional documents in the below mentioned service requests in case of any discrepancies.

2. KYC / Email ID Updation

2.1 SEBI mandates that all shareholders holding securities in physical form must update their KYC details and provide a valid email ID for electronic communication.

2.2 The following documents are required:-

- Submit duly filled Form ISR-1 (**Annexure-I**) – For KYC updation (PAN, bank details, email ID, mobile number).

- Self-attested PAN card.
- Self-attested Proof of Address i.e. Aadhaar, Passport, Driving License, etc.
- Bank Details – Cancelled cheque with pre-printed name or copy of passbook/bank statement.
- Specimen Signature in Form ISR-2 (**Annexure-II**), attested by the bank.
- Nomination Details in Form ISR-3 or SH-13 (**Annexure III or IV**).
- Form ISR-4 – For service requests, along with attested Client Master List (**Annexure-V**).

3. **Transfer of Shares**

- 3.1 With effect from April 1, 2019, SEBI has mandated that transfer of securities in physical form is not permitted, except in cases of transmission (death/succession) or transposition (change in order of holders).
- 3.2 All transfers must be carried out in dematerialized (demat) form through a Depository Participant (DP).
- 3.3 Sales and purchases of shares should be done through a registered share broker of a recognized Stock Exchanges.

4. **Transmission of shares in case of death of shareholder**

- 4.1 Transmission of shares arises in case of death of the registered shareholder.
- 4.2 In case of transmission of securities held in physical mode, where the shares are held in **single name with a nomination**, the following documents will have to be submitted with the Company / Registrar:-

- (i) Duly signed transmission request form ISR-5 (**Annexure-VI**) by the nominee;
- (ii) Original death certificate or copy of death certificate attested by the nominee subject to verification with the original or copy of death certificate duly attested by a Notary Public or by a Gazetted Officer;
- (iii) Self attested copy of PAN card of the nominee.
- (iv) Original Security Certificate(s).
- (v) Signature of the legal heir/ nominee duly attested by the Banker in Form ISR-2 and furnish bank particulars i.e. A/c No., Name & complete address of the bank with Email ID & Contact no. of the bank alongwith pre-printed name on cancelled Cheque.

- 4.3 In case of transmission of securities held in physical mode, where the securities are held in **single name without a nomination**, the following additional documents apart from documents mentioned at (i) to (v) of Para 3.2 above shall also be submitted.

(vi) Proof of Identification (POI) i.e. self-attested copy of PAN card & Proof of Address (POA) of legal heirs(s)/claimant(s), witnesses and sureties.

(vii) Notarised affidavit from all legal heir(s) made on non-judicial stamp paper of appropriate value on identity and claim of ownership, as per the format provided as **Annexure VII**.

In case the legal heir(s) / claimant(s) are named in the Succession Certificate or probate of Will or Will or Letter of Administration or Legal Heir Ship Certificate or its equivalent certificate, an affidavit from such legal heir(s) / claimant(s) duly Notarised and as per the format provided in Annexure D, shall be sufficient.

(viii) Copy of any of the following documents:

(a) Succession Certificate; or

(b) Probate of Will; or

(c) Will, along with a notarized indemnity bond from the legal heir(s) / claimant(s) to whom the securities are transmitted, as per the format specified provided in Annexure E; or

(d) letter of Administration ; or

(e) Court Decree; or

(f) Legal Heirship Certificate or its equivalent, along with (i) a notarized indemnity bond from the legal heir(s) / claimant(s) to whom the securities are transmitted, as per the format specified provided in **Annexure VIII**; and (ii) No Objection from all the non-claimants, duly attested by a Notary Public or by a Gazette Officer as per the format provided in **Annexure IX**.

The Documents should be Attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a Notary Public or by a Gazetted Officer.

For cases where the value of securities is up to ₹ 5 lakhs (Five Lakhs) per listed entity as on the date of submission of complete documentation, instead of and where the documents mentioned in above point are not available, the following documents may be submitted;

(i) No Objection Certificate from all legal heir(s) in as per the format provided in Annexure F, or copy of family settlement deed executed by all the legal heirs, duly attested by a Notary Public or by a Gazette Officer; and

(ii) Notarized Indemnity Bond made on non-judicial stamp paper of appropriate value, indemnifying the Share Transfer Agent / Listed Entity, in as per the format provided in **Annexure VIII**.

(ix) KYC Updation documents as mentioned in Para No. 2

5. **Issue of duplicate share certificate**

5.1 An issue of duplicate share certificate refers to the process by which a company issues a new share certificate to a shareholder in place of the original one that has been lost, stolen, destroyed, defaced, torn or mutilated. Duplicate securities shall be issued in dematerialized mode only.

5.2 The procedure and documents required for issuance of duplicate securities are mentioned below:-

5.2.1 If the value of securities as on the date of submission of application, along with complete documentation as prescribed by the Board does not exceeds ₹ 10 Lakhs (Rupees Ten Lakhs), the security holder shall submit an Affidavit-cum-Indemnity bond as per the format prescribed at **Annexure-X** alongwith Address proof of witness, on a non-judicial stamp paper of appropriate value as prescribed by the Stamp Act of the state where the claimant resides. The value of the non-judicial stamp paper shall be reckoned as higher of the amount as prescribed for an affidavit and an indemnity individually”

5.2.2 For securities having value up to ₹ 10,000/- (Rupees Ten Thousand), as on the date of submission of application, the security holder shall submit an undertaking as per format specified at Annexure-A on a plain paper.

5.2.3 For securities having value more than ₹ 10 Lakhs (Rupees Ten Lakhs), the claimant shall, in addition to the document mentioned in Para 5.2.1, submit a copy of FIR including e-FIR/Police complaint/Court injunction order/copy of plaint (where the suit filed has been accepted by the Court and Suit No. has been given), necessarily having details of the securities, folio number, distinctive number range and certificate numbers.

An overseas securities holder, in lieu of documents mentioned in Para B of this circular, shall be permitted to provide self-declaration of the security certificates lost/misplaced/stolen which shall be duly notarized/ apostilled /attested by the Indian Consulate / Embassy in their country of residence, along with self-attested copies of valid passport and overseas address proof.

5.2.4 For securities having value more than ₹ 10 Lakhs, the company shall issue an advertisement regarding loss of securities in a widely circulated newspaper in the region where its registered office is situated, on a weekly basis. The timeline for processing of the service request for issuance of duplicate security certificates shall commence from the date of submission of complete documentation by the investor or issuance of newspaper publication by the company, whichever is later. The company may charge a minimal fee from the investor towards such advertisement.

The applicant shall quantify the value of the securities on the basis of the closing price of such securities at any one of the recognized stock exchanges a day prior to the date of such submission in the application.

- 5.2.5 In case of non-availability of Certificate Nos./Distinctive Nos./ Folio nos., the RTA (upon written request by the security holder) shall provide the same, to the security holder only where the signature and the address of the securityholder matches with the RTA / company's records. In case the signature and/or the address do not match, the security holder shall first comply with the KYC procedure and then only the details of the securities shall be provided to the security holder by the RTA/ company
- 5.2.6 KYC Updation documents as mentioned in Para No. 2
- 5.2.7 In case any change of address formal letter duly signed by shareholder for updation of current address with old & new address proof.
- 5.2.8 In case name of shareholders not tally with PAN and with our database then an affidavit on stamp paper of value as per state stamp act declaring full and correct name of shareholder.
- 5.2.9 In terms of the provisions of Section 46 of the Companies Act, 2013 and the related rules thereto, a Cheque of ₹30/- per certificate for issue of duplicate share certificate in case of lost/destroyed share certificate in favour of "IFCI LIMITED" is required.
- 5.2.10 On receipt of above documents and after obtaining approval from the Company, a 'Letter of confirmation' (LOC) will be issued in lieu of physical securities certificate(s), to the securities holder/claimant. The 'Letter of Confirmation' shall be valid for a period of 120 days from the date of its issuance, within which the securities holder/claimant shall make a request to the Depository Participant for dematerializing the said securities.

As per SEBI Circular, effective April 2, 2026, the requirement for issuance of a Letter of Confirmation (LOC) has been discontinued. The Registrar & Transfer Agent (R&STA) or the Company will directly verify and process service requests, issuing securities directly into the claimant's demat account within 30 days of receiving the request, after resolving any objections. Once the request is verified and processed, the R&STA/Company will initiate the demat conversion in the depository system to ensure direct credit of securities into the holder's/claimant's demat account, along with an intimation confirming successful dematerialization.

Note: 1. A fee of ₹30/- per certificate be charged by the company for issue of duplicate share certificate in case of lost/ destroyed share certificate.

2. A fee of ₹40/- per certificate be charged by the Company for splitting or consolidation of share certificate(s); or in replacement of share certificate(s) that are defaced, mutilated, torn or old, decrepit or worn out.

6. Name Deletion

Name Deletion in shares means removal of one of the joint holder's names from the records. Name Deletion occurs primarily on the death of a one of the joint shareholders.

- 6.1 The following documents are required: -
- 6.1.1 Original share certificate(s) along with certified copy of Death Certificate (Hindi/English version) of deceased shareholder.
 - 6.1.2 A requisition letter duly signed by all joint holder(s)
 - 6.1.3 KYC Updation documents as mentioned in Para No. 2
 - 6.1.4 On receipt of above documents with original certificate(s), name deletion will be done after obtaining approval from the Company and a 'Letter of confirmation' will be issued in lieu of physical securities certificate(s), to the securities holder/claimant. The 'Letter of Confirmation' shall be valid for a period of 120 days from the date of its issuance, within which the securities holder/claimant shall make a request to the Depository Participant for dematerializing the said securities.

As per SEBI Circular, effective April 02, 2026, the requirement for issuance of a Letter of Confirmation (LOC) has been discontinued. The Registrar & Transfer Agent (R&TA) or the Company will directly verify and process service requests, issuing securities directly into the claimant's demat account within 30 days of receiving the request, after resolving any objections. Once the request is verified and processed, the R&STA/Company will initiate the demat conversion in the depository system to ensure direct credit of securities into the holder's/claimant's demat account, along with an intimation confirming successful dematerialization.

7. **Name Correction / Name Change**

- 7.1 The procedure and documentation requirements for Name Correction are mentioned below: -
- 7.1.1 Original share certificate(s)
 - 7.1.2 A requisition letter duly signed by the holder of the shares.
 - 7.1.3 Affidavit on a non-judicial stamp paper of ₹10/- declaring the correct name duly notarised.
 - 7.1.4 In case of change in name.
 - Certified copy of Newspaper cutting declaring the new name.
 - Certified copy of Gazette paper.In case of change in surname post marriage.
 - Certified copy of Marriage Certificate.
 - 7.1.5 KYC Updation documents as mentioned in Para No. 2
 - 7.1.6 On receipt of above documents with original certificate(s) and name correction after obtaining approval from the Company, a 'Letter of confirmation' will be issued in lieu

of physical securities certificate(s), to the securities holder/claimant. The 'Letter of Confirmation' shall be valid for a period of 120 days from the date of its issuance, within which the securities holder/claimant shall make a request to the Depository Participant for dematerializing the said securities.

As per SEBI Circular, effective April 02, 2026, the requirement for issuance of a Letter of Confirmation (LOC) has been discontinued. The Registrar & Transfer Agent (R&TA) or the Company will directly verify and process service requests, issuing securities directly into the claimant's demat account within 30 days of receiving the request, after resolving any objections. Once the request is verified and processed, the R&TA/Company will initiate the demat conversion in the depository system to ensure direct credit of securities into the holder's/claimant's demat account, along with an intimation confirming successful dematerialization.

8. Change/ Update of Bank details

8.1 In cases where Bank account details of the security holder are not available with R&STA or there is a change in such details, R&STA shall obtain Bank account details along with any one of the following documents to update the security holder's Bank details:

- a) Original cancelled cheque bearing the name of the security holder; OR
- b) Bank passbook/ statement attested by the Bank;

8.2 The R&STA shall proceed with the updation of bank details based on the documents provided by the first holder only, in case of joint holding

9. Change of signatures

For request of change in signatures, the investor shall register/update the specimen signature through Form ISR-1 and provide following documents:-

- (a) Original cancelled cheque with name of the security holder printed on it; or Self-attested copy of Bank Passbook/Bank Statement;
- (b) Banker's attestation of the signature of the same bank account as mentioned in (a) above as per Form ISR - 2.

Shareholders holding shares in demat form are requested to contact their respective Depository Participant (DP) for the aforesaid purpose.

10. Issuance of Securities in dematerialized form in case of Investor Service Requests

10.1 **Listed companies shall issue securities in dematerialized form only (while processing the following service requests):**

- 1. Issue of duplicate securities certificate;

2. Claim from Unclaimed Suspense Account;
 3. Renewal / Exchange of securities certificate;
 4. Endorsement;
 5. Sub-division / Splitting of securities certificate;
 6. Consolidation of securities certificates/folios;
 7. Transmission;
 8. Transposition
 9. Name Change/ Correction/ Deletion.
- 10.2 Securities holder/claimant shall submit Form ISR-4/ISR-5 (as applicable) for processing above service requests along with required documents.
 - 10.3 Original share certificate(s) must be provided for certain service requests (transmission, name deletion, etc.).
 - 10.4 R&STA/Issuer Company verifies documents and removes objections, if any.
 - 10.5 Within 30 days, a Letter of Confirmation is issued in lieu of physical certificates.
 - 10.6 Letter of Confirmation is valid for 120 days from date of issue.
 - 10.7 Securities holder/claimant must submit the letter to their Depository Participant (DP) for dematerialization.
 - 10.8 R&STA/ Company sends reminders at 45 days and 90 days if demat request is not received.
 - 10.9 If no demat request is submitted within 120 days, securities are credited to the Suspense Escrow Demat Account of the Company.

However, as per SEBI Circular, effective April 2, 2026, the requirement for issuance of a Letter of Confirmation (LOC) has been discontinued. The Registrar & Transfer Agent (R&TA) or the Company will directly verify and process service requests, issuing securities directly into the claimant's demat account within 30 days of receiving the request, after resolving any objections. Once the request is verified and processed, the R&TA/Company will initiate the demat conversion in the depository system to ensure direct credit of securities into the holder's/claimant's demat account, along with an intimation confirming successful dematerialization.

11. **Process for claiming securities from Suspense Escrow Demat Account**

Securities which have been moved to Suspense Escrow Demat Account may be claimed by the security holder/ claimant on submission of following documents to R&STA:

(a) Duly filled in and signed Form ISR -4.

(b) Client master list ("CML") of the demat account for crediting the securities to the security holder's / claimant's account provided the details in the CML

12. **Mandatory furnishing of 'Choice of Nomination' for new Demat accountholders:**

All new investors/unitholders shall be required to mandatorily provide the 'Choice of Nomination' for demat accounts (except for jointly held Demat Accounts).

All existing investors are encouraged, in their own interest, to provide 'choice of nomination' for ensuring smooth transmission of securities held by them. The formats for providing Nomination and Opting- out of Nomination in case of Demat Account are provided at **Annexure III and IV**.

13. **Unclaimed / Unpaid dividend:**

As per the provisions of Section 124 of the Companies Act, 2013 (the Act), Companies are required to transfer, any money which had been transferred to the 'Unpaid Dividend Account' of a company and which had remained unpaid or unclaimed for a period of seven years from the date of such transfer, to the Investor Education and Protection Fund (IEPF). Investors are requested to note that no claims shall lie against the Company, once the unpaid/unclaimed dividend has been transferred to the IEPF. However, investors can claim the unpaid/unclaimed dividend from the IEPF, by filing/making a claim for refund of the dividend, with the Investor Education and Protection Fund Authority, established under the provisions of Section 125 of the Act. The claim shall be filed in terms of Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 and Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Amendment Rules, 2017.

Also, please note that Ministry of Corporate Affairs (MCA) by notification dated July 20, 2022 has given instructions to issue Entitlement Letter to the claimant by the Companies. Therefore, it is directed that henceforth Entitlement letters shall be issued by the Nodal / deputy Nodal Officer of the Companies to the claimants before claims are filed by them in web form IEPF-5 with the Authority.

Claimants are advised to approach the Company for issue of Entitlement letter along with all the required documents as mentioned below before filing of claim(s) with IEPF Authority.

For Entitlement Letter:

The following documents are required for issue of Entitlement letter:-

1. Self-attested copies of Aadhar Card, PAN Card & Bank details (Name print cheque copy) of the claimant and if joint holders are there, copy of Aadhaar card of all joint holders- Mandatory
2. Self-attested copies of Passport, OCI and PIO card in case of foreigners and NRI - Mandatory
3. Copy of Client Master List of De-mat A/c of names mention on share certificate - Mandatory
4. Proof of entitlement (Certificate of share/ Dividend warrant, etc.) – Mandatory. Further the same in shall be submitted original.
5. Duly notarised affidavit on non-judicial stamp paper for change in Address with old & new address proofs – in case of change in address.
6. Copy of transaction statement if shares in electronic mode.

Procedure to claim Refund

1. Please access the Web Form IEPF-5 from MCA Portal for filing the claim for refund. Read the instructions provided on the website/instruction kit along with the web form carefully before filling the form.
2. After submission of the duly filled form an SRN acknowledgement will be generated. Please note the SRN for future tracking of the form.
3. Take a printout of the Web Form IEPF-5 and the acknowledgement. Submit hard copy of the same along with original physical share certificate along with Indemnity Bond, any other document as enumerated in Form No. IEPF-5, duly signed by claimant (Self-attested by the joint holder), to the Nodal Officer of the concerned company at its registered office for verification of the claim.
4. Indemnity bond to be submitted in original other documents as mentioned in the Form IEPF-5 to the Nodal Officer (IEPF) of Company at its registered office in an envelope marked "Claim for refund from IEPF Authority".
5. Claim forms completed in all aspects will be verified by Company and on the basis of company's verification report, refund will be released by the IEPF Authority in favor of claimants' account through electronic transfer.

For filing of Form IEPF-5, Claimant are requested to visit the website of www.iepf.gov.in and to go through the HELP KIT and FAQs available at the website.

14. **Green Initiative**

Ministry of Corporate Affairs (MCA) has taken "green initiative in corporate governance" by allowing paperless compliance by the companies. In order to support the said initiative your company sent copies of Annual Report through e-mail to those members whose e-mail id had been provided by them through their DP's / R&TA.

The investors are encouraged to update their e-mail ID with the Company/R&TA to support the green initiative and promote paperless communication.

15. **Registering / Updating the KYC details:**

S.No.	Particulars	Form
1.	PAN	ISR – 1
2.	Nominee details	SH – 13, ISR – 3, (As applicable)
3.	Contact details (postal address, Mobile number & E-mail)	ISR – 1
4.	Bank details	ISR – 1
5.	Signature	ISR – 1, ISR – 2 (As applicable)

Processing of various service request

S.No.	Particulars	Form
6.	Issue of Duplicate securities certificate	ISR-4
7.	Replacement / Renewal / Exchange of securities certificate	ISR-4
8.	Consolidation of securities certificate	ISR-4
9.	Sub-division / Splitting of securities certificate	ISR-4
10.	Consolidation of folios	ISR-4
11.	Endorsement	ISR-4
12.	Change in the name of the holder	ISR-4
13.	Change in status from Minor to Major and Resident to NRI and vice versa	NA
14.	Claim from Unclaimed Suspense Account & Suspense Escrow Demat Account	ISR-4
15.	Transposition	ISR-4
16.	Transmission	ISR-5

16. **Special Window for Transfer and Dematerialisation of Physical Securities:**

To facilitate ease of investing for investors and to secure their rights in the securities purchased by them, a special window has been opened for transfer and dematerialisation of physical securities which were sold/purchased prior to April 01, 2019.

This special window shall be open for a period of one year from February 05, 2026 to February 04, 2027. It shall also be available for such transfer requests which were submitted earlier and were rejected/returned/not attended to due to deficiency in the documents/process/or otherwise.

Cases involving disputes between transferor and transferee will not be considered in this window and may be settled by transferor and transferee through court/NCLT process. Further, securities which have been transferred to Investor Education and Protection Fund (IEPF) shall not be considered under this window for processing.

Conditions to be fulfilled by the investor/transferee:

The transferee shall be mandatorily required to submit the following documents:

- a. Original security certificate(s);
- b. Transfer deed executed prior to April 01, 2019;
- c. Proof of purchase by transferee, as may be available;
- d. KYC documents of the transferee (as per ISR forms);
- e. Latest Client Master List ('CML'), not older than 2 months, of the demat account of the transferee, duly attested by the Depository Participant; and
- f. Undertaking cum Indemnity as per the format at **Annexure XI**.

INDEX OF ANNEXURES

Annexure No.	Subject Matter
I	ISR-1
II	ISR-2
III	ISR-3
IV	SH-13
V	ISR-4
VI	Annexure-C (ISR-5)
VII	Annexure-D (Individual Affidavit to be given by all Legal Heir(s))
VIII	Annexure-E (Indemnity Bond furnished jointly by all Legal Heir(s))
IX	Annexure-F (No Objection Certificate from all the Legal Heir(s))
X	Annexure-A (Affidavit cum Indemnity)
XI	Undertaking -cum- Indemnity bond

	(Optional)	Depository Participant.
3	Proof of Address of the first holder	<p>Any one 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 land line)/ 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 organisation 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)	<p>Account Number: _____ #</p> <p>Bank Name: _____</p> <p>Branch Name: _____</p> <p>IFS Code: _____</p> <p>Provide the following:</p> <p><input type="checkbox"/> Original cancelled cheque bearing the name of the security holder; OR</p>

			<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 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	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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).

*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 \(https://cca.gov.in/\)](https://cca.gov.in/) for the purpose of obtaining an e-sign.

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. 	
<ul style="list-style-type: none"> • Upon receipt or up-dation of bank details, the RTA shall, <i>suo-moto</i>, generate request to the company's bankers to pay electronically all the moneys of / payments to the holder that were previous unclaimed / unsuccessful. 	
<ul style="list-style-type: none"> • 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. 	
<ul style="list-style-type: none"> • 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> <ul style="list-style-type: none"> i. Security holder shall provide the following documents: <ul style="list-style-type: none"> (a) Original cancelled cheque with name of the security holder printed on it; or (b) Self-attested copy of Bank Passbook/ Bank Statement; <p style="text-align: center;">and</p> ii. Banker's attestation of the signature of the same bank account as mentioned in (i) above as per Form ISR - 2. <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
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** 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 6 & 7 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 style="text-align: center;">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;</p> <p style="text-align: center;">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 style="text-align: center;">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	Furnish any one of the following documents, explaining the difference in names;

		<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 record available with the RTA, the request for change in address may be processed within the prescribed timelines.</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>

(Page 6 & 7 is for information to investors; print out of the same is not required)

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(s)	1) 2)	
6. Latest photograph of the accountholder(s)		
<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center;">1st Holder</div> <div style="border: 1px solid black; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center;">2nd Holder</div> <div style="border: 1px solid black; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center;">3rd Holder</div> </div>		
7. Accountholder(s) details as per Bank Records		
a) Address		
b) Phone number		
c) Email address		
d) Signature(s)		
1) <div style="border: 1px solid black; width: 150px; height: 40px; display: inline-block;"></div>	2) <div style="border: 1px solid black; width: 150px; height: 40px; display: inline-block;"></div>	3) <div style="border: 1px solid black; width: 150px; height: 40px; display: inline-block;"></div>
Signature verified as recorded with the Bank		
Seal of the Bank		
	(Signature)	
Place:	Name of the Bank Manager	
	Employee Code	
Date:	E-mail address	

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-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)

[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, ***do not wish to nominate*** 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)

Nature of Securities	Folio No.	No. of Securities	Certificate No.	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) *
Sole / First Holder Name

Signature(s)

Second Holder Name

Third Holder Name

* *Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature*

Form No. SH-13

Nomination Form

[Pursuant to section 72 of the Companies Act, 2013 and rule 19(1) of the Companies (Share Capital and Debentures) Rules 2014]

To

Name of the company:

Address of the company:

I/We the holder(s) of the securities particulars of which are given hereunder wish to make nomination and do hereby nominate the following persons in whom shall vest, all the rights in respect of such securities in the event of my/our death.

(1) PARTICULARS OF THE SECURITIES (in respect of which nomination is being made)

Nature of securities	Folio No.	No. of securities	Certificate No.	Distinctive No.

(2) PARTICULARS OF NOMINEE/S —

(a) Name:

(b) Date of Birth:

(c) Father's/Mother's/Spouse's name:

(d) Occupation:

(e) Nationality:

(f) Address:

(g) E-mail id:

(h) Relationship with the security holder:

(3) IN CASE NOMINEE IS A MINOR—

(a) Date of birth:

(b) Date of attaining majority

(c) Name of guardian:

(d) Address of guardian:

Name:

Address:

Name of the Security

Holder (s)

Signature

Witness with name and address

Form ISR-4

Request for issue of Duplicate Certificate and other Service Requests

(for Securities - Shares / Debentures / Bonds, etc., held in physical form)

Date: __/__/____

A. Mandatory Documents / details required for processing all service request:

I / We are submitting the following documents / details with respect to service request (tick ✓ as relevant, refer to the instructions):

- Demat Account No.:

Provide latest Client Master List (**CML**) of your Demat Account, not older than two months, attested by the Depository Participant*

Also, provide duly filled-in demat conversion request form.

- Provide the following details, if they are not already available with the RTA (see [SEBI circular dated November 03, 2021](#) in this regard)

PAN	Specimen Signature
Nomination / Declaration to Opt-out	

* (Your address, e-mail address, mobile number and bank details shall be updated in your folio from the information available in your **CML**). You can authorize the RTA to update the above details for all your folios. In this regard, please refer to and use [Form ISR-1](#) in [SEBI circular dated November 03, 2021](#).

B. I / We request you for the following (tick - relevant box)

<input type="checkbox"/> Issue of Duplicate certificate	<input type="checkbox"/> Claim from Unclaimed Suspense Account
<input type="checkbox"/> Replacement / Renewal / Exchange of securities certificate	<input type="checkbox"/> Endorsement
<input type="checkbox"/> Sub-division / Splitting of securities certificate	<input type="checkbox"/> Consolidation of Folios
<input type="checkbox"/> Consolidation of Securities certificate	<input type="checkbox"/> Transmission
<input type="checkbox"/> Transposition (<i>Mention the new order of holders here</i>)	
<input type="checkbox"/> Claim from Suspense Escrow Demat Account	

C. I / We are enclosing certificate(s) as detailed below:**

Name of the Issuer Company	
Folio Number	
Name(s) of the security holder(s) as per the certificate(s)	1. 2. 3.
Certificate numbers	
Distinctive numbers	
Number & Face value of securities	

** Wherever applicable / whichever details are available

D. Document / details required for specific service request:

- ✓ Duplicate securities certificate
- ✓ Claim from Unclaimed Suspense Account

Securities claimed	(in numbers) (in words)
--------------------	----------------------------

- ✓ Replacement / Renewal / Exchange of securities certificate
(that is defaced, mutilated, torn, decrepit, worn out or where the page on the reverse is fully utilized)
- ✓ Endorsement
- ✓ Sub-division / Splitting of securities certificate
- ✓ Consolidation of securities certificate/Folios
- ✓ Transmission
- ✓ Transposition
- ✓ Claim from Suspense Escrow Demat Account

Securities claimed	(in numbers) (in words)
--------------------	----------------------------

Provide / attach original securities certificate(s) for request for item numbers III to VIII above.

Declaration: All the above facts stated are true and correct to best of my / our knowledge and belief.

	Security Holder 1 / Claimant	Security Holder 2	Security Holder 3
Signature	✓	✓	✓

Name	✓	✓	✓
Full address	✓		
PIN	✓		

After processing the service request, the RTA/listed company shall issue the securities to the security holder/claimant only in demat mode, directly in the demat account of the security holder/claimant, within 30 days of receipt of service request.

Request for Transmission of Securities by Nominee or Legal Heir

(For Transmission of securities on death of the Sole holder)

**Annexure C –
ISR 5**

To:

The Listed Issuer/RTA,
(Address)**(Name of the Listed Issuer/RTA)****Name of the
Claimant(s)**

Mr./Ms.

Name of the Guardian · *in case the claimant is a minor* → Date of Birth of the minor*

Mr./Ms.

Relationship with Minor: · Father · Mother · Court Appointed Guardian*

[Multiple PAN may be entered] PAN (Claimant(s)/Guardian): | | | | | | | | | | | | | | | | | | | | · KYC
Acknowledgment attached · KYC form attachedTax Status: · Resident Individual · Resident Minor (through Guardian) · NRI · PIO ·
Others (please specify)**Please attach relevant proof*

I/We, the claimant(s) named hereinabove, hereby inform you about the demise of the below mentioned Securities Holder(s) and request you to transmit the securities held by the deceased holder(s) in my/our favour in my/our capacity as –

· Nominee · Legal Heir · Successor to the Estate of the deceased · Administrator of the Estate of the deceased

Name of the deceased holder(s)**Date of
demise****

1)

DD / MM / YYYY

2)

DD / MM / YYYY

3)

DD / MM / YYYY

Please attach certified copy of Death Certificate.Securities(s) & Folio(s) in respect of which Transmission of securities is being requested**

Name of the Company	Folio No.	No. of Securities	% of Claim®
1)			

Neither (Not applicable)

Gross Annual Income (₹) · Below 1 Lac · 1-5 Lacs · 5-10 Lacs · 10-25 Lacs · 25 Lacs-1crore · >1 crore

FATCA and CRS information

Country of Birth _____ Place of Birth _____

Nationality _____

Are you a tax resident of any country other than India? · Yes · No

If Yes, please mention all the countries in which you are resident for tax purposes and the associated Taxpayer Identification Number and its identification type in the column below

Country	Tax-Payer Identification Number	Identification Type

Nomination[@] (Please ✓ one of the options below)

· I/We **DO NOT** wish to make a nomination. *(Please tick ✓ if you do not wish to nominate anyone)*

· I/We wish to make a nomination and hereby nominate the person/s more particularly described in the **attached Nomination Form** to receive the securities held in my/our folio in the event of my / our death.

@ Guardian of a minor is not allowed to make a nomination on behalf of the minor

Declaration and Signature of the Claimant(s)

I/We have attached herewith all the relevant / required documents as indicated in the attached *Ready Reckoner as per Annexure A*.

I/We confirm that the information provided above is true and correct to the best of my knowledge and belief.

I/We undertake to keep _____ (Name of the Company) / its RTA informed about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required by the RTAs.

I/We hereby authorize _____ (Name of the Company) and its RTA to provide/ share any of the information provided by me/us including my holdings in the (Name of the Company) to any governmental or statutory or judicial authorities/agencies as required by law without any obligation of informing me/us of the same.

Place _____	
-------------	--

Date	Signature of Claimant(s)
------	--------------------------

Documents Attached

- Copy of Death Certificate of the deceased holder
- Copy of Birth Certificate (in case the Claimant is a minor)
- Copy of PAN Card of Claimant / Guardian
- KYC Acknowledgment OR
- KYC form of Claimant
- Cancelled cheque with claimant's name printed OR Claimant's Bank Statement/Passbook
- Nomination Form duly completed
- Annexure D - Individual Affidavits given EACH Legal Heir
- Original security certificate(s)
- Annexure E - Bond of Indemnity furnished by Legal Heirs
- Annexure F - NOC from other Legal Heirs

***Note: For transmission service requests, Form ISR-4 as per SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated January 25, 2022 will not be required.**

Annexure-D

Individual Affidavits to be given by ALL the Legal Heirs OR Legal Heirs named in Succession Certificate*/ Probate of Will*/ Will*/ Letter of Administration*/ Legal Heirship Certificate*(or its equivalent certificate)*/Court Decree*

(For Transmission of securities on death of Sole Holder where NO NOMINATION has been registered)

Each Deponent (legal heir) shall sign separate Affidavits.

(To be executed on a non-judicial stamp of appropriate value and Notarized)

I, _____ Son / daughter of _____ residing at _____

_____ do hereby solemnly affirm and state on oath as follows.

That Mr. /Mrs _____ @ ("the deceased holder") held the following securities in his / her name as single holder:

Company Name	Folio No.	No. of securities held
1)		
2)		
3)		

That the aforesaid deceased holder died *intestate* leaving behind him/her, the following persons as the only surviving heirs as per the Succession Certificate/ Legal Heirship Certificate(or its equivalent certificate)/Court Decree dated _____ / according to the Law of Intestate Succession by which he/she was governed at the time of his/her death and without registering any nominee. *

OR

That the aforesaid deceased holder died leaving behind the following persons as the legatees as per the Will/ Probated Will/ Letter of Administration dated _____ and without registering any nominee. *

A copy of the **Succession Certificate*/ Probate of Will*/ Will*/ Letter of Administration*/ Legal Heirship Certificate*(or its equivalent certificate)*/ Court Decree*** is attached herewith.

Name of the Legal Heir(s)	Address and contact details	Age	Relation with the Deceased
1)			
2)			
3)			

That _____ among the aforesaid legal heirs, Master/ Kum. _____ aged _____ years is a minor and is being represented by Mr./Ms. _____ \$ being his / her father / mother / legal guardian.

Signature of the Deponent:

X _____

VERIFICATION

I hereby solemnly affirm and state that what is stated herein above is true and correct and nothing has been concealed therein and that we I am competent to contract and entitled to rights and benefits of the abovementioned securities of the deceased.

Solemnly affirmed at

Signature of the Deponent:

X _____

Signed before me

Place: _____

Date : _____

X -----

Signature of Notary with Official Seal
of Notary & Regn. No.

** ~~strikeout~~ whichever is not applicable*

= Name of the legal heir @ = Name of the deceased security holder

\$ = Name of the Guardian

Note: ***To be executed in the presence of a Public Notary / Gazetted Officer***

Bond of Indemnity to be furnished jointly by all Legal Heir(s) including the Claimant(s)
(To be submitted on Non-judicial Stamp Paper of appropriate value)

**[For Transmission of Securities on death of Sole Securities' Holder, where
no nomination has been registered]**

I/We do hereby solemnly affirm and state on oath as follows:

That Mr. /Ms. _____ *Name of the deceased holder* _____ was
holding the following securities:

Name of the Company	Certificate No.	Distinctive No.	Folio No.	No. of securities held
1				
2				
3				
4				

That the aforesaid deceased holder died *intestate* on _____, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of intestate succession applicable to him/her by which he/she was governed at the time of his/her death.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			
2			
3			
4			

OR

That the aforesaid deceased holder died on _____, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of testamentary succession.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			
2			
3			

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein has/have, approached _____ (Name of the Company/RTA) with a request to transmit the aforesaid securities in the name of the undersigned Mr. /Ms. [Name(s) of the legal heir(s)/claimant(s)] #, on my/our behalf, without insisting on production of a Succession Certificate/ Probate of Will / Letter of Administration or any Court order, for which we execute an indemnity as is herein contained and on relying on the information herein given by us, believing the same to be true.

In consideration therefore of my/our request to transfer/transmit the above said securities to the name of the undersigned Mr. /Ms. [Name(s) of the legal heir(s)/claimant(s)] #,

I/We hereby jointly and severally agree and undertake to indemnify and keep indemnified, saved, defended, harmless, [Name of the Company/ Issuer and any RTA] and its successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which they may suffer and/or incur by reason of transferring the said securities as herein above mentioned, at my/our request to the undersigned Mr./Ms. [Name(s) of the legal heir(s)/claimant(s)] #, without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court order.

IN WITNESS WHEREOF the said 1) Mr. /Ms. _____ (Name and signature of the witness) _____

And 2) Mr. /Ms. _____ Name and signature of the witness _____ #, have hereunto set their respective hands and seals this day of _____ Signed and delivered by the said legal heir/s.

Name the Legal Heirs	Signature of the Legal Heirs
1	X

2	X
3	X

(*) = Name of the deceased security holder (#) = Name of the claimant/s

Signed before me

at: _____

on: _____

Signature of Notary

Official stamp & seal of the Notary & Regn. No.:

Note: ***To be executed in the presence of a Public Notary / Gazetted Officer***

[To be submitted in non-judicial stamp paper of appropriate value]

No-Objection Certificate from the Legal Heir(s)

Format of NOC from other Legal Heir(s) for Transmission of Securities in favour of the Claimant(s) wherein the Sole Holder is deceased and NO NOMINATION has been registered

DECLARATION

I/We, the legal heir(s) of late Mr. / Ms _____ (name of the deceased holder) declare as follows –

- (i) That the above named deceased holder was holding the following securities in his / her name as single holder:

Name of the Company	Folio No.	No. of securities held
1)		
2)		
3)		

- (ii) That the deceased had died intestate on DD / MM / YYYY . and without registering any nominee.

- (iii) That the following Claimant(s) has/have applied for the transmission of the aforesaid securities:

Name of the Claimant(s)	Address and contact details	Age	Relationship with the deceased
1)			
2)			
3)			

(iv) That I / We are the legal heir(s) of the deceased holder, apart from the Claimant(s) who has/ have applied for transmission of the aforesaid securities and our details are as follows:

Name of the Legal Heir(s)	Address and contact details	Age	Relationship with the deceased
1)			
2)			
3)			

- (i) I / we hereby declare that, I / we do not desire to make any claim in respect of the title to the aforesaid securities held by the deceased and I / we hereby wilfully relinquish & renounce all my /our rights in respect of the aforesaid securities and shall have no legal claim upon said securities in future.
- (ii) Accordingly, I / we declare that I / we have NO OBJECTION WHATSOEVER in _____ (Name of the Company) transmitting the aforesaid securities in favour of the Claimant(s) Mr. / Ms. _____.
- (iii) I / we hereby state that whatever is stated herein above are true to the best of my/our knowledge and nothing has been concealed therein.

Name(s) and Signature(s) of Legal Heir(s) who are Non – Claimant(s):

- 1) _____
- 2) _____
- 3) _____

VERIFICATION

We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the above mentioned securities.

Solemnly affirmed at _____

Deponent(s)

(1) _____ (2) _____ (3) _____

**Format for Affidavit-cum-Indemnity
FORM-A
AFFIDAVIT-CUM-INDEMNITY
[For issuance of duplicate securities]**

Note: ***This affidavit is to be executed in the presence of a Public Notary (in cases where the value of securities exceeds Rs. Ten Thousand)***

[To be submitted in non-judicial stamp paper of appropriate value as prescribed by the Stamp Act of the state where the claimant resides (in cases where the value of securities exceeds Rs. Ten Thousand)]

I/We, ___ Son / daughter/spouse of _____ residing at

_____, having Permanent Account No (s) ___ do hereby solemnly affirm and state on oath as follows.

1. That I/We, _____ ("all the shareholders ") hold the following ___(number of) securities under Folio no. in ___(name of the company) in my/ our name as single holder / joint holder:

Company Name	Folio Number	Number and face value of securities held	Security Certificate No.	Distinctive Nos.	
				From	To
1)					
2)					
3)					

2. I/We _____ swear / solemnly declare that the above securities were acquired by me/us for valuable consideration out of my/our own investment/funds against allotment in Public Issue/allotment in Right Issue or acquired from the market/through inheritance in the year(s).

3. I/We _____ further swear / solemnly declare that I/ we am/are applying for issue of duplicate certificate(s) to me/us on the ground that the original security(ies)

certificate(s) has/have been misplaced / not found by me/us, despite a diligent search made by me/us in this behalf.

4. I/We _____
_____ further swear /solemnly declare that the said securities are not sold or pledged or deposited by way of security to any person/company.

5. I/We _____
_____ hereby further swear / solemnly declare that if, after the duplicate share certificate(s) is / are issued to us as aforesaid, the original security(ies) certificate(s) is / are at any time subsequently, found, recovered or traced by us or by anyone on our behalf, then, we unconditionally undertake not to deal with the said original share certificate(s) in any manner whatsoever (whether by physical transfer or dematerialization or as security or pledge) and further unconditionally undertake to promptly surrender the original share certificate(s) to the RTA / Company, for cancellation.

6. I/We _____ am/are
_____ making the above solemn declaration on oath with full knowledge of the fact that in the event the original security (ies) certificate(s) issued is /are found, recovered and traced by me/us and instead of surrendering the same is / are dealt with by me/us as aforesaid, the Company will be at liberty to adopt civil and / or criminal proceedings against me/us for my/our failure to promptly surrender the original security (ies) certificate(s), for cancellation and for breach of my/our solemn declaration and undertaking not to deal with the original security (ies) certificate(s) in any manner whatsoever as aforesaid at my/our entire risk as to cost and consequences.

7. I/We hereby jointly and severally agree and undertake to indemnify and keep indemnified, saved, defended, harmless, the aforesaid (Name of the Company/RTA) and its successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which you may suffer and/or incur by reason of your, at my/our request, issuing the said Duplicate Securities as herein above mentioned, to the undersigned.

Signature of all
deponents : X _____

VERIFICATION

We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the above mentioned securities.

IN WITNESS WHEREOF the said 1) Mr. /Ms. ____ (Name and signature of the witness) _____
And 2) Mr. /Ms. _____ Name and signature of the witness
_____, #, have hereunto set their respective hands and seals this day of _____

Address of First holder / Applicant :

Pincode

Signature of All holder(s) / Applicant(s) :

FOR OFFICE USE ONLY

Signature checked by :

Signed before me at: _____

on::

Signed before me

Place: _____ Date : __

--X-----

Signature of Notary with Official Seal of Notary & Regn. No.

(To be reproduced on Non-Judicial Stamp Paper or franked with equivalent amount and duly notarized)

Undertaking -cum- Indemnity bond

This Undertaking-cum-Indemnity Bond is made and executed on _____, at _____

By

Mr. / Ms. _____ son / daughter / wife of _____ and Mr./Ms. _____ son / daughter / wife of _____ residing at _____ having permanent address at _____ (hereinafter called as "Indemnifier", which expression unless it be repugnant to the context or meaning thereof, mean and include my / our legal heirs, successors, administrators and assigns) of the one Part

In favour of

M/s _____, a Company duly incorporated under the provisions of Companies Act, 1956 (since replaced by the Companies Act, 2013) and having its Registered Office at _____, (hereinafter called as "Indemnified" / the Company which expression unless it be repugnant to the context or meaning thereof, mean and include its successors, administrators and assigns) of the Other Part and

WHEREAS:

I / We have purchased / acquired the following securities from the seller (s) / transferor(s) Mr./ Ms / M/s. _____ and _____ for a consideration amount of Rs. _____

Folio No:

Certificate No:

Distinctive Nos:

I / We have lodged duly executed Instrument of Transfer (Form 7B) / Securities Transfer (Form - SH4) along with the original certificates for the aforesaid securities with the Company / RTA for transfer of the securities in my / our favour, as provided in circular issued by SEBI dated _____.

In consideration of the Company approving the transfer of the aforesaid securities in my / our favour:

I / We shall indemnify and keep indemnified and saved, harmless _____ the Company, its management, officers, staff, the RTA M/s _____, its

management, officials, staff from and against (i) any harm, loss, damage or injury, (ii) any claim or demand and (iii) any suit, action, litigation or other proceedings whatsoever, that the Company / RTA management, officers, staff, may suffer or incur or may be called upon to suffer or incur (including all costs, charges and expenses incurred or required to be incurred on prosecuting or defending any suit, action litigation and/or proceedings) by reason of or as a consequence of the Company transferring the securities to my / our name(s) the_____

I / We accept that the request made by me / us for the transfer of securities, referred above will be subject to the regulations and circulars issued by SEBI from time to time.

I / We also confirm that the securities so transferred shall be under the lock-in period of One Year after the securities are credited into my/our Demat Account.

I / We acknowledge, understand, accept and admit that this Undertaking-cum- Indemnity Bond shall be equivalent to the value of the securities at prevailing market price with all the benefits accrued on the transacted securities and it shall be binding upon my / our legal heirs, successors, administrators and assigns.

Signed by the Indemnifier in the presence of the Magistrate / Notary Public and following witnesses on the date and place first written herein above;

Indemnifier(s) First named transferee:

Indemnifier(s) Second named transferee:

Witnesses:

1. Name:_____

Add:

Sign:

2. Name:_____

Add:

Sign:

Name and full address of Magistrate / Notary Public (Affix Official Seal and Notarial / Court Fee Stamp, as applicable)

Registration No.:

Notary Register at Book No. ----- Serial No. -----