

Important Communication for Security Holders in Physical Form

SEBI Circular on Common and Simplified Norms for Processing Investor's Service Request by RTAs and Norms for furnishing PAN, KYC details and Nomination.

Attention of the Holders of Securities in Physical Mode is invited to Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 issued by SEBI.

SEBI vide this Circular has mandated the furnishing of PAN, Address with PIN code, Nomination, Contact details, Bank Account details and Specimen Signature by holders of physical securities for their Folio Nos.

The Circular also states that -

- 1. RTA (Link Intime India Private Limited) shall not process any service request or complaint received from the security holder(s) / claimant(s), till PAN, Contact details, Bank Account details, Specimen signature and Nomination documents/details are received.
- 2. The Folios wherein any one of the documents / details cited in point 1 above are NOT available on or after October 01, 2023, shall be frozen by the RTA.

The security holder(s) whose Folio(s) have been frozen shall be eligible:

- A. To lodge grievance or avail any service request from the RTA , ONLY AFTER furnishing the complete documents / details as mentioned in point 1 above.
- B. For any payment including dividend, interest or redemption payment in respect of such frozen folios, ONLY through electronic mode with effect from April 01, 2024.

The RTA shall revert the frozen folios to normal status upon receipt of all the documents/details as mentioned in point 1 above.

Frozen folios shall be referred by the RTA / listed company to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and/or Prevention of Money Laundering Act, 2002, if they continue to remain frozen as on December 31, 2025.

Form	Download -Form (pdf)	Fillable-Form	Purpose
Form ISR-1	<u>Download-ISR-1</u>	<u>Fillable-ISR-1</u>	Request for Registering PAN, KYC details OR Changes/updatons there of (only for securities held in physical)
Form ISR-2	<u>Download-ISR-2</u>	<u>Fillable-ISR-2</u>	Confirmation of Signature of securities holder by Banker
Form ISR-3	<u>Download-ISR-3</u>	<u>Fillable-ISR-3</u>	Declaration for Opting-out of Nomination by holders of physical securities in Listed Companies
Form SH-13	<u>Download-SH-13</u>	<u>Fillable-SH-13</u>	Nomination Form
Form SH-14	<u>Download-SH-14</u>	<u>Fillable-SH-14</u>	Cancellation OR Variation of Nomination