Form ISR – 1

(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]

## I / We, request you to Register / Change / Update the following (Tick ✓relevant box) Date: / /

|  |  |
| --- | --- |
| PAN | Registered Address |
| Bank details | E-mail address& Mobile Number |
| Signature | Demat account details |

1. **Security and KYC Details** [to be filled in by the holder(s) ]:

|  |  |  |
| --- | --- | --- |
| **Name of the Issuer Company** |  | |
| **Folio No** |  | * **Serial No :** |
| **E-mail of First Holder** |  | |
| **Mobile of First Holder** |  | |
| **Demat Account Number**  **Tick any one** ✓ | **CDSL NSDL** | **DP\_CL:** [ ] | |

* **Serial No.** as mentioned in the KYC covering letter.

|  |  |  |
| --- | --- | --- |
| **Name(s) of the Security holder(s) in Capital as per PAN** | **PAN** | **PAN Linked to Aadhaar Y/N** |
| 1. |  | Yes / No |
| 2. |  | Yes / No |
| 3. |  | Yes / No |
| 4. |  | Yes / No |

**Note:** PAN copies of all the holders duly self-attested with date to be enclosed with this Form.

|  |  |  |  |
| --- | --- | --- | --- |
| **Bank Account Details of First Holder** | | | |
| **Name of the Bank & Branch** |  | | |
| **Bank A/c No.** |  | **Tick any one [✓]- Acct type: Savings Current**  **NRO NRE Any other [ ]** | |
| **IFSC** |  | **9 digit MICR No** |  |

**Note:** Original cancelled cheque leaf bearing the name of the first holder is mandatory, failing which first security holder shall submit copy of bank passbook / statement attested by the Bank for registering the new bank account details.

**Authorization: I / We authorize the Company/RTA to update the above PAN and KYC details in my /our folio as stated above.**

## Declaration: I/We hereby declare that all the above facts and documents enclosed are true and correct.

|  |  |  |  |
| --- | --- | --- | --- |
| **Signature of**  **First Holder** | **Signature of Joint Holder- 1** | **Signature of Joint Holder - 2** | **Signature of Joint Holder -3** |
|  |  |  |  |
| **Full Address:** | Pin : | | |

**Note: *If the address mentioned above differs from the address registered with the Company, you are requested to record the new address by submitting the documents as specified in point C (3) overleaf***

1. **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** | PAN shall be valid only if it is linked to Aadhaar by March 31, 2022, or any date as may be specified by the CBDT. |
| Whether it is Valid  (linked to Aadhaar): |
| Yes | For Exemptions / Clarifications on PAN, please refer to Objection Memo as specified in SEBI circular. |
| No |
| 2 |  | Demat Account Number | Provide Client Master List (CML) of your Demat Account, provided by the Depository Participant. |
| **3** |  | **Proof of Address of the first Holder** | Provide any one of the documents, only if there is change in the address; 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 (with Photo) / 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 latest copy of the bank statement with details of bank name, branch, account number and IFSC or Original cancelled cheque leaf bearing the name of first holder. Alternatively, Bank details available in the CML as enclosed will be updated in the folio. |
| **5** |  | **E-mail address** | As mentioned on Form ISR-1, alternatively the E-mail address available in the CML as enclosed will be updated in the folio. |
| **6** |  | **Mobile** | As mentioned on Form ISR-1, alternatively the mobile number available in the CML as enclosed will be updated in the folio. |
| **7** |  | **Specimen Signature** | Provide banker’s attestation of the signature of the holder(s) as per Form ISR – 2 and Original cancelled cheque leaf bearing the name of the first holder. |
| **8** |  | **Nomination** | **Submit Form(s) as per any one of the following options.**  **SH-13** For First Time Nomination  **SH-14** For Change in Existing Nomination  **SH-14 and ISR-3** For Cancellation of existing Nomination and to “Opt-Out”  **ISR-3 To “OPT-Out”** of Nomination or if No-Nomination is required |

# **Note:** All the above forms are available on the website of the RTA.