

## **Simplified procedure and standardized formats of documents for Transmission of securities and Issuance of Duplicate securities**

SEBI through its Circulars dated 18<sup>th</sup> May (Transmission) & 25<sup>th</sup> May 2022 (Duplicate), prescribed procedures and documentation requirements for transmission process and issuance of duplicate securities.

### **A. Transmission of Securities:**

The requirements for transmission of securities are as specified below:

- (i) Where the securities are held in single name with a nomination, the following documents should be submitted:
  - (a) duly signed transmission request form by the nominee;
  - (b) 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;
  - (c) self-attested copy of the Permanent Account Number card of the nominee, issued by the Income Tax Department.
- (ii) where the securities are held in single name without nomination, the following documents should be submitted:
  - (a) Duly signed transmission request form by the legal heir(s)/claimant(s);
  - (b) Original death certificate or copy of death certificate attested by the legal heir(s)/claimant(s) subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer;
  - (c) Self-attested copy of the Permanent Account Number card of the legal heir(s)/claimant(s), issued by the Income Tax Department;
  - (d) A notarized affidavit, in the format provided in Annexure - D of the circular from all the legal heir(s) made on non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the securities. However, in case the legal heir(s)/claimant(s) are named in Succession Certificate or Probate of Will or Will or Letter of Administration or Legal Heirship Certificate (or its equivalent certificate), an affidavit from such legal heir(s)/claimant(s) alone is sufficient;
  - (e) A copy of other requisite documents for transmission of securities as may be applicable as per Annexure - A of the Circular, 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.

Cont....2/-

..(2)..

- (iii) In cases where a copy of Will is submitted as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925) the same should be accompanied with a notarized indemnity bond from the claimant (appropriate beneficiary of the Will) to whom the securities are transmitted, in the format provided in Annexure - E of the Circular.
- (iv) In cases where a copy of Legal Heirship Certificate or its equivalent certificate issued by a competent Government Authority is submitted, the same should be accompanied with:
- (a) A notarized indemnity bond from the legal heir(s) /claimant(s) to whom the securities are transmitted, in the format provided in Annexure - E of the Circular.
  - (b) No Objection from all non-claimants (remaining legal heirs), stating that they have relinquished their rights to the claim for transmission of securities, duly attested by a notary public or by a gazetted officer, in the format provided in Annexure - F of the Circular.
- (v) For value of securities up to rupees **five lakhs** per listed entity in case of securities held in physical mode, and up to rupees **fifteen lakhs** per beneficial owner in case of securities held in dematerialized mode, as on date of application by the claimant, and where the documents such as Succession Certificate or Probate of Will or Will or Letter of Administration or Court Decree or Legal Heirship Certificate (or its equivalent certificate) are not available, the legal heir(s) /claimant(s) may submit the following documents:
- (a) A notarized indemnity bond made on non-judicial stamp paper of appropriate value in the format provided in Annexure - E of the Circular, indemnifying the Share Transfer Agent/ listed entity.
  - (b) No objection certificate from all legal heir(s) stating that they do not object to such transmission in the format provided in Annexure - F of the Circular or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer;
- (vi) Below listed formats of the documents required to be submitted by security holder while requesting for transmission of securities are forming part of the said SEBI Circular 1 and the same is annexed to this letter.
- (a) **Annexure - C - ISR 5:** Format of the form to be filed by nominee/claimant(s)/legal heir(s) while requesting transmission of securities.
  - (b) **Annexure - D:** Format of affidavit to be given by all Legal Heirs or Legal Heirs named in Succession Certificate/ Probate of Will/ Will/ Letter of Administration/ **Legal Heirship Certificate/Court Decree.**

Cont....3/-

..(3)..

- (c) **Annexure - E:** Format of Bond of Indemnity to be furnished jointly by all Legal Heir(s) including the Claimant(s)
- (d) **Annexure - F:** Format of NOC from other Legal Heir(s) for transmission of securities in favour of the Claimant(s)/legal heir(s)

## **B. Issuance of Duplicate Securities**

The requirements for issuance of duplicate securities are as specified below:

- (i) Submission of copy of FIR including e-FIR/Police complaint/Court injunction order/copy of plaint.
- (ii) Issuance of advertisement regarding loss of securities in a widely circulated newspaper.
- (iii) Submission of Affidavit and Indemnity bond and there is no requirement of submission of surety.
- (iv) If the **value of securities** as on the date of submission of application **does not exceed Rs.5 Lakhs**, there is **no requirement for copy of FIR & Issuance of advertisement**.
- (v) The value of the securities should be quantified 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.
- (vi) An overseas securities holder, in lieu of documents mentioned in Para (a) is permitted to provide self-declaration of the security certificates lost/misplaced/stolen which should 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.
- (vii) In case of non-availability of Certificate Nos./Distinctive Nos./ Folio nos., the RTA (upon written request by the security holder) should provide the same, to the security holder only where the signature and the address of the security holder matches with the RTA / listed company's records. In case the signature and/or the address do not match, the security holder should first comply with the KYC procedure and then only the details of the securities should be provided to the security holder by the RTA/listed company.
- (viii) As mandated vide SEBI Circular dated January 25, 2022, duplicate securities will be issued in dematerialized mode only.
- (ix) Below listed formats of the documents required to be submitted by security holder while requesting for issuance of duplicate securities are forming part of the said SEBI Circular 2 and the same is annexed to this letter.

Cont....4/-

..(4)..

- |     |            |   |  |
|-----|------------|---|--|
| (a) | Form A     | - | Affidavit for issuance of duplicate securities |
| (b) | Form B     | - | Indemnity for issuance of duplicate securities |
| (c) | Form C     | - | Format of Letter of Confirmation               |
| (d) | Form ISR 4 | - | Investor Service Request Form                  |

For any other clarifications / service requirements, you may kindly contact the RTA whose address is below:

**M/s. Cameo Corporate Services Limited,**  
**Unit: Kothari Sugars and Chemicals Limited,**  
Subramanian Building, 5<sup>th</sup> Floor,  
No. 1, Club House Road, Chennai - 600 002  
Phone: 044-28460390/28460394 & 40020723,  
E-mail: [investor@cameoindia.com](mailto:investor@cameoindia.com)

Concerned shareholders of Kothari Sugars and Chemicals Limited are hereby requested to follow the procedure and submit the documents as mentioned in the above said SEBI Circulars for Transmission of Shares or Issuance of Duplicate Shares.

**Annexure:** SEBI Circular dated 18<sup>th</sup> May 2022 (Transmission)  
SEBI Circular dated 25<sup>th</sup> May 2022 (Duplicate)



## CIRCULAR

SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/65

May 18, 2022

To

All registered Registrars to an Issue and Share Transfer Agents (RTAs)  
 All Recognized Stock Exchanges  
 All Listed Companies through Recognized Stock Exchanges  
 All Recognized Depositories  
 All Depository Participants (DPs) through Depositories  
 All Investors' Associations

Dear Sir / Madam,

**Subject: Simplification of procedure and standardization of formats of documents for transmission of securities**

1. SEBI has reviewed the process being followed by the Registrars to an Issue and Share Transfer Agents ("RTAs") and the Depositories/ Issuer companies for effecting transmission of securities.
2. As an on-going measure to enhance ease of dealing in securities markets and with a view to make the transmission process more efficient and investor friendly, the procedure for transmission of securities has been further simplified vide the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) (Fourth Amendment) Regulations, 2022 ("**LODR Amendment Regulations**") Gazette Notification no. SEBI/LAD-NRO/GN/2022/80 dated April 25<sup>th</sup>, 2022).
3. The LODR Amendment Regulations has *inter alia* enhanced the monetary limits for simplified documentation for transmission of securities, allowed 'Legal Heirship Certificate or equivalent certificate' as one of the acceptable documents for transmission and provided clarification regarding acceptability of Will as one of the valid documents for transmission of securities. Pursuant to the notification of the LODR Amendment Regulations, this Circular is being issued to specify the formats of various documents which are required to be furnished for the processing of transmission of securities.
4. For ease of reference, a ready reckoner listing out the documents required for transmission of securities, in case of demise of the sole holder, is provided in **Annexure – A** to this Circular. The Operational Guidelines for processing investor's service request for the purpose of transmission of securities are provided in **Annexure – B** to this Circular.
5. The format of the form to be filed by nominee/claimant/legal heir while requesting transmission of securities is provided in **Annexure – C** to this Circular.

6. The revised documentation requirements in case of transmission of securities are specified below :

6.1 Where the securities are held in a single name with a nomination, nominee shall be informed about the procedure to be followed for the claim on the receipt of the intimation of death of the security holder.

6.2 Where the securities are held in single name with a nomination, the following documents shall be submitted:

- (a) duly signed transmission request form by the nominee;
- (b) 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;
- (c) self-attested copy of the Permanent Account Number card of the nominee, issued by the Income Tax Department.

6.3 where the securities are held in single name without nomination, the following documents shall be submitted:

- (a) duly signed transmission request form by the legal heir(s)/claimant(s);
- (b) original death certificate or copy of death certificate attested by the legal heir(s)/claimant(s) subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer;
- (c) self-attested copy of the Permanent Account Number card of the legal heir(s)/claimant(s), issued by the Income Tax Department;
- (d) a notarized affidavit, in the format provided in [Annexure – D](#) to this Circular from all legal heir(s) made on non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the securities.

However, in case the legal heir(s)/claimant(s) are named in any of the documents for transmission of securities as mentioned in serial number 8 in [Annexure – A](#) to this Circular, an affidavit from such legal heir(s)/claimant(s) alone shall be sufficient;

- (e) a copy of other requisite documents for transmission of securities as may be applicable as per [Annexure – A](#) to this Circular, 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:



- 6.4 In cases where a copy of Will is submitted as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925) the same shall be accompanied with a notarized indemnity bond from the claimant (appropriate beneficiary of the Will) to whom the securities are transmitted, in the format provided in [Annexure – E](#) to this Circular.
- 6.5 In cases where a copy of Legal Heirship Certificate or its equivalent certificate issued by a competent Government Authority is submitted, the same shall be accompanied with:
- a notarized indemnity bond from the legal heir(s) /claimant(s) to whom the securities are transmitted, in the format provided in [Annexure – E](#) to this Circular.
  - No Objection from all non-claimants (remaining legal heirs), stating that they have relinquished their rights to the claim for transmission of securities, duly attested by a notary public or by a gazetted officer, in the format provided in [Annexure – F](#) to this Circular.
- 6.6 For value of securities up to rupees five lakhs per listed entity in case of securities held in physical mode, and up to rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode, as on date of application by the claimant, and where the documents mentioned in serial number 9 in [Annexure – A](#), are not available, the legal heir(s) /claimant(s) may submit the following documents:
- a notarized indemnity bond made on non-judicial stamp paper of appropriate value in the format provided in [Annexure – E](#) to this Circular, indemnifying the Share Transfer Agent/ listed entity;
  - no objection certificate from all legal heir(s) stating that they do not object to such transmission in the format provided in [Annexure – F](#) to this Circular or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer; and
- The listed entity may, at its discretion, enhance the value of securities from the threshold limit of rupees five lakhs, in case of securities held in physical mode.
7. For transmission of securities to the surviving joint holder(s), RTAs shall comply with clause 23 of Table F in Schedule 1 read with Section 56(2) & 56(4)(c) of the Companies Act, 2013, and transmit securities in favour of surviving Joint holder(s), in the event of demise of one or more joint holder(s), provided that there is nothing contrary in the Articles of Association of the company.
8. The common norms stipulated in SEBI Circular [SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655 dated November 03, 2021](#) and SEBI Circular [SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/687 dated December 14, 2021](#) shall be applicable for transmission service requests.

9. In case the securities were held by the deceased holder in a single name and in physical mode, then after verifying and processing the documents submitted for transmission of securities, the RTAs/ Issuer companies shall intimate the claimant(s) about its execution as may be applicable, within 30 days of the receipt of such request, by way of issuing a Letter of Confirmation in the format provided in [Annexure – G](#) to this Circular.
10. The provisions of this Circular shall come into force with immediate effect in supersession of the following circulars:
- a) Circular No. CIR/MIRSD/10/2013 dated October 28, 2013,
  - b) Circular No. SEBI/HO/MIRSD3/CIR/P/2016/0000000085 dated September 15, 2016,
  - c) Circular No. SEBI/HO/MIRSD/DOP/CIR/P/2019/05 dated January 4, 2019, and
  - d) Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/644 dated October 18, 2021.
11. Stock Exchanges and Depositories are advised to:
- a) make necessary amendments to the relevant bye-laws, rules and regulations, operational instructions, as the case may be, for the implementation of the above Circular; and
  - b) to bring the provisions of this Circular to the notice of their constituents and also disseminate the same on their websites.
12. The RTAs/ listed issuers/ Depositories shall strictly adhere to the formats and documentation specified through this Circular for all transmission matters including requirement of Will.
13. This Circular is being issued to protect the interests of investors in securities and to promote the development of, and to regulate the securities market read in exercise of powers conferred under Section 11 (1) of the Securities and Exchange Board of India Act, 1992 read with Regulation 101 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements), 2015.

This Circular is available on SEBI website at [www.sebi.gov.in](http://www.sebi.gov.in) under the categories “Legal Framework -> Circulars”.

Yours faithfully,

**Aradhana Verma**  
**Deputy General Manager**  
**Market Intermediaries Regulation and Supervision Department**  
**Tel. No. 022-2644 9633**  
**Email id - [aradhanad@sebi.gov.in](mailto:aradhanad@sebi.gov.in)**



**List of Annexures:**

1. Annexure – A ([Pdf](#)) : Ready Reckoner: Documents Required for Transmission of Securities
2. Annexure – B ([Pdf](#)): Operational guidelines for processing investor's service request for the purpose of Transmission of securities
3. Annexure – C ([Word](#) / [Pdf](#)): Format of the form to be filed by nominee/claimant(s)/legal heir(s) while requesting transmission of securities
4. Annexure – D ([Word](#) / [Pdf](#)): Format of affidavit to be given by all Legal Heirs or Legal Heirs named in Succession Certificate/ Probate of Will/ Will/ Letter of Administration/ Legal Heirship Certificate/Court Decree
5. Annexure – E ([Word](#) / [Pdf](#)): Format of Bond of Indemnity to be furnished jointly by all Legal Heir(s) including the Claimant(s)
6. Annexure – F ([Word](#) / [Pdf](#)): Format of NOC from other Legal Heir(s) for transmission of securities in favour of the Claimant(s)/legal heir(a)
7. Annexure – G ([Word](#) / [Pdf](#)): Format of the Letter of Confirmation to be issued by RTAs/ Issuer Companies

**READY RECKONER: DOCUMENTS REQUIRED FOR TRANSMISSION OF SECURITIES**

Sr. No.	Documents required for transmission	Sole holder deceased & nomination registered	Sole holder deceased & nomination <u>not</u> registered
1.	Transmission Request Form	<b>Annexure C</b>	<b>Annexure C</b>
2.	Original death certificate or Copy of death certificate attested by a notary public/gazette officer or copy of the death certificate attested by the nominee(s)/claimant(s)/legal heir(s), subject to verification with original by the RTA/Listed Issuer	✓	✓
3.	Self-attested copy of Permanent Account Number Card of the nominee(s)/claimant(s)/legal heir(s) issued by the Income Tax Department	✓	✓
4.	Copy of Birth Certificate (in case the nominee/claimant/legal heir is a minor)	✓	✓
5.	KYC* of the Claimant Guardian (in case of nominee /claimant being a minor / of unsound mind).	✓	✓
6.	Original security certificate(s)	✓	✓

\*If not KYC compliant

7.	Notarized 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 in <b>Annexure D</b> .	<b>NA</b>	✓
8.	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 Heirship Certificate(or its equivalent certificate), instead of the document mentioned in point 7 above, an Affidavit from such legal heir(s)/claimant(s), duly Notarised and as per the format provided in <b>Annexure D</b> , shall be sufficient.	<b>NA</b>	✓
9.	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 <b>Annexure E</b> ; or	<b>NA</b>	✓

	<p>(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 <b>Annexure E</b>; and (ii) No Objection from all the non-claimants, duly attested by a notary public or by a gazetted officer as per the format provided in <b>Annexure F</b>.</p> <p>The document 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.</p>		
10.	<p>For cases where the value of securities is up to rupees five lakhs per listed entity as on the date of submission of complete documentation in case of securities held in physical mode and up to rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode, instead of and where the documents mentioned in point 9 above are not available, the following documents may be submitted;</p> <p>(i) no objection certificate from all legal heirs(s), as per the format provided in <b>Annexure F</b>, or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer; and</p> <p>(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 <b>Annexure E</b>.</p>	NA	✓

**Operational Guidelines for processing investor's service request for the purpose of Transmission of securities**

1. The operational guidelines for processing of investor service requests for the purpose of transmission of securities are as under:
  - a. The RTA/Issuer Companies shall use the format for:
    - (i) Transmission Request Form ("TRF") – **(Annexure C)**,
    - (ii) Affidavit made on non-judicial stamp paper, to the effect of identification and claim of legal ownership to the securities ("Affidavit") – **(Annexure D)**,
    - (iii) Indemnity Bond made on appropriate non-judicial stamp paper of appropriate value ("Indemnity Bond") – **(Annexure E)**, and
    - (iv) No objection certificate from all legal heirs who do not object to such transmission ("NOC") – **(Annexure F)**.
  - b. After verifying and processing the request, the RTA / Issuer Companies shall intimate the claimant(s) about its execution as may be applicable, by way of issuing a Letter of Confirmation (Format at **Annexure G**).
  - c. The RTA shall retain the physical securities as per the existing procedure and deface the certificate with a stamp "Letter of Confirmation Issued" on the face / reverse of the certificate, subsequent to processing of service request
  - d. The Letter of Confirmation shall, inter-alia, contain details of folio and demat account number (if available) of the claimant(s).
  - e. The Letter of Confirmation shall be sent by the RTA / Issuer Companies through Registered / Speed Post to the claimant(s) and a digitally signed copy of the Letter of Confirmation shall be sent by the RTA/Issuer Companies to the claimant(s) through e-mail.
  - f. Within 120 days of issue of the Letter of Confirmation, the claimant(s) shall submit the demat request, along with the original Letter of Confirmation or the digitally signed copy of the Letter of Confirmation, to the Depository Participant ("DP").

- g. DP shall generate the demat request on the basis of the Letter of Confirmation and forward the same to the Issuer Company / RTA for processing the demat request.
- h. In case of the securities which are required to be locked in, the RTA while approving / confirming the demat request, shall incorporate / intimate the Depository about the lock-in and its period.
- i. The RTA / Issuer Companies shall issue a reminder after the end of 45 days and 90 days from the date of issuance of the Letter of Confirmation, informing the claimant(s) to submit the demat request as above, in case no such request has been received by the RTA / Issuer Company.
- j. In case of non-receipt of demat request from the claimant(s) within 120 days of the date of issue of the Letter of Confirmation, the securities shall be credited to Suspense Escrow Demat Account of the Issuer Company.

**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)

<b>Name of the Claimant(s)</b> Mr./Ms.	
Name of the Guardian <input type="checkbox"/> <i>in case the claimant is a minor</i> →	Date of Birth of the minor*
Mr./Ms. _____	
Relationship with Minor: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Court Appointed Guardian*	
[Multiple PAN may be entered] PAN (Claimant(s)/Guardian): _____   <input type="checkbox"/> KYC Acknowledgment attached <input type="checkbox"/> KYC form attached	
Tax Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Resident Minor (through Guardian) <input type="checkbox"/> NRI <input type="checkbox"/> PIO <input type="checkbox"/> 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)			
2)			
3)			
4)			

*@As per Nomination OR as per the Will/Probate/Succession Certificate/Letter of Administration/ Legal Heirship Certificate (or its equivalent certificate)/ Court Decree, if applicable.*

**Contact details of the Claimant (s) [Provision for multiple entries may be made]**

Mobile No.+91	Tel. No. STD -
Email Address	



**Address** (Please note that address will be updated as per address on KYC form / KYC Registration Agency records)

Address Line 1	
Address Line 2	
City:	State
PIN	

**Bank Account Details of the Claimant**

Bank Name	
Account No.	11-digit IFSC
A/c. Type (✓) <input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> FCNR	9-digit MICR No.
Name of bank branch	
City	
PIN	

Please attach & tick✓ ☐ Cancelled cheque with claimant's name printed OR ☐ Claimant's Bank Statement/Passbook (duly attested by the Bank Manager)

**I also request you to pay the UNCLAIMED amounts, if any, in respect of the deceased securities holder(s) by direct credit to the bank account mentioned above.**

**Additional KYC information** (Please tick✓ whichever is applicable)

<b>Occupation</b> <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Home Maker <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others (Please specify)
The Claimant is <input type="checkbox"/> a Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person <input type="checkbox"/> Neither (Not applicable)
<b>Gross Annual Income (₹)</b> <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs-1crore <input type="checkbox"/> >1 crore

**FATCA and CRS information**

Country of Birth _____	Place of Birth _____
Nationality _____	
Are you a tax resident of any country other than India? <input type="checkbox"/> Yes <input type="checkbox"/> 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 _____	Signature of Claimant(s)
Date _____	

**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.

**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  
\_\_\_\_\_ at  
residing \_\_\_\_\_

\_\_\_\_\_ 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 severely 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)			

(v) 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.

(vi) 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. \_\_\_\_\_.

(vii) 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) \_\_\_\_\_

(to circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022 on Issuance of Securities in dematerialized form in case of Investor Service Requests)

RTA / ISSUER COMPANY NAME AND ADDRESS

Name:

Date:

Address:

Dear Sir/Madam,

**LETTER OF CONFIRMATION**

**Sub: Issuance of Securities in dematerialized form in case of Investor Service Requests**

**Name of the Company:**

We refer to the request received from you for issuance of securities in your name. We would like to inform you that the request has been approved as detailed below:

Name of first holder & PAN Joint holder 1 & PAN Joint holder 2 & PAN	
Number of securities	
Folio Number	
Certificate numbers	
Distinctive numbers	
Lock-In	Yes or No. If yes, lock-in from ____/____/____ till ____/____/____ (DD/MM/YYYY)

As you may be aware, SEBI vide Gazette Notification no. SEBI/LAD-NRO/GN/2022/66 dated January 24, 2022, has mandated that the securities that are issued pursuant to investor service request shall henceforth be issued in demat mode only and hence the security certificates (wherever applicable) are retained at our end.

Accordingly, within 120 days of this letter, please request your Depository Participant (**DP**) to demat these securities using the Dematerialization Request Form (**DRF**). Please fill the DRF with the details mentioned in this letter, sign it and present this letter in original to your DP along with the DRF for enabling your DP to raise a Demat Request Number (**DRN**). In case you do not have a demat account, kindly open one with any DP. Please note that you can open Basic Service Demat Account at minimal / nil charges.

Please note that **this letter is valid only for a period of 120 days** from the date of its issue within which you have to raise demat request with the DP as above. Any request for processing demat after the expiry of aforesaid 120 days will not be entertained and as per the operating guidelines issued by SEBI, the subject securities shall be transferred to a Suspense Escrow Demat Account of the Company.

Thanking you,

Yours faithfully,  
For ABCD Limited (RTA)  
Authorised Signatory

**CIRCULAR**

SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/70

May 25, 2022

**To****All Registered Registrars to an Issue and Share Transfer Agents (RTAs)****All Recognized Stock Exchanges****All Listed Companies through Recognized Stock Exchanges****All Investors' Associations**

Dear Sir / Madam,

**Subject: Simplification of procedure and standardization of formats of documents for issuance of duplicate securities certificates**

1. SEBI has reviewed the process followed by the Registrars to an Issue and Share Transfer Agents (“RTAs”) and the Issuer companies for issuance of duplicate securities certificates.
2. Based on feedback from investors, recent regulatory changes, and with a view to make issuance of duplicate securities more efficient and investor friendly, the procedure and documentation requirements for issuance of duplicate securities has been further simplified. The requirements are as specified below:
  - 2.1 Submission by the security holder of 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.

- 2.2 Issuance of advertisement regarding loss of securities in a widely circulated newspaper
- 2.3 Submission of Affidavit and Indemnity bond as per the format prescribed by the Board.
  - 2.3.1 There shall be no requirement of submission of surety for issuance of duplicate securities
- 2.4 There shall be no requirement to comply with Para 2.1 and 2.2 of this circular, if the value of securities as on the date of submission of application, along with complete documentation as prescribed by the Board does not exceed Rs.5 Lakhs.
- 2.5 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.
- 2.6 An overseas securities holder, in lieu of documents mentioned in Para 2.1 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.
- 2.7 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 security holder matches with the RTA / listed 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/listed company.

3. Fake / forged / stolen certificates or certificates where duplicate certificate is issued, must be seized and defaced by the RTA / listed company and disposed of in the manner, authorized by the Board of the Company.
4. Defaced certificate shall be kept in custody of the Company/ RTA and disposed of in the manner as authorized by the Board of the Company.
5. The listed company shall take special contingency insurance policy from the insurance company towards the risk arising out of the requirements relating to issuance of duplicate securities in order to safeguard and protect the interest of the listed company.
6. As mandated vide SEBI Circular dated January 25, 2022, duplicate securities shall be issued in dematerialized mode only.
7. The common norms stipulated in SEBI Circular SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated November 03, 2021 and SEBI Circular SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/687 dated December 14, 2021 shall be applicable for service requests for issuance of duplicate securities.
8. The provisions of this Circular shall come into force with immediate effect in supersession of RTI Circular No. 1 (2000-2001) dated May 9, 2001.
9. The Annexure to this Circular constitutes the following:
  - a. Operational Guidelines for processing investor's service request for the purpose of issuance of duplicate securities
  - b. Documents required to be submitted by security holder while requesting for issuance of duplicate securities
    - i. Form A – Affidavit for issuance of duplicate securities ([word/pdf](#))



- ii. Form B- Indemnity for issuance of duplicate securities ([word/pdf](#))
- iii. Form C – Format of Letter of Confirmation ([word/pdf](#))
- iv. Investor Service Request Form – 4 (ISR 4)([word/pdf](#))

10. The RTAs/ listed company shall strictly adhere to the formats and documentation specified through this Circular for all service requests related to issuance of duplicate securities.

11. The Stock Exchanges are advised to bring the provisions of this circular to the notice of listed companies and also to disseminate the same on their websites.

12. This Circular is being issued to protect the interests of investors in securities and to promote the development of, and to regulate the securities market in exercise of powers conferred under Section 11 (1) of the Securities and Exchange Board of India Act, 1992.

This Circular is available on SEBI website at [www.sebi.gov.in](http://www.sebi.gov.in) under the categories “Legal Framework -> Circulars”.

Yours faithfully,

**Aradhana Verma**  
**Deputy General Manager**  
**Market Intermediaries Regulation and Supervision Department**  
**Tel. No. 022-2644 9633**  
**Email id - [aradhanad@sebi.gov.in](mailto:aradhanad@sebi.gov.in)**

**Annexure**

**I. Operational Guidelines for processing investor's service request for the purpose of issuance of duplicate securities**

The operational guidelines for processing of investor service requests for the purpose of issuance of duplicate securities are as under:

- a. The RTA/Issuer Companies shall use the format for:
  1. Form A- Affidavit made on non-judicial stamp paper, for issuance of duplicate securities,
  2. Form B - Indemnity Bond made on appropriate non-judicial stamp paper of appropriate value
  3. Form C – Format of Letter of Confirmation
  4. Investor Service Request Form – 4 (ISR 4)
- b. After verifying and processing the documents submitted for issuance of duplicate securities, the RTA / Issuer Companies shall intimate the claimant(s) about its execution as may be applicable, within 30 days of the receipt of such request, by way of issuing a Letter of Confirmation (Form C).
- c. For issuance of duplicate securities, the RTA shall retain the physical securities as per the existing procedure and deface the certificate with a stamp “Letter of Confirmation Issued” on the face / reverse of the certificate, subsequent to processing of service request.
- d. The Letter of Confirmation shall, inter-alia, contain details of folio and demat account number (if available) of the claimant(s).

- e. The Letter of Confirmation shall be sent by the RTA / Issuer Companies through Registered / Speed Post to the claimant(s). Additionally, the RTA/Issuer Companies may send such letter through e-mail with e-sign and / or digital signature.
- f. Within 120 days of issue of the Letter of Confirmation, the claimant(s) shall submit the demat request, along with the original Letter of Confirmation or the digitally signed copy of the Letter of Confirmation, to the Depository Participant ("DP").
- g. DP shall generate the demat request on the basis of the Letter of Confirmation and forward the same to the Issuer Company / RTA for processing the demat request.
- h. In case of the securities which are required to be locked in, the RTA while approving / confirming the demat request, shall incorporate / intimate the Depository about the lock-in and its period.
- i. The RTA / Issuer Companies shall issue a reminder after the end of 45 days and 90 days from the date of issuance of the Letter of Confirmation, informing the claimant(s) to submit the demat request as above, in case no such request has been received by the RTA / Issuer Company.
- j. In case of non-receipt of demat request from the claimant(s) within 120 days of the date of issue of the Letter of Confirmation, the securities shall be credited to Suspense Escrow Demat Account of the Issuer Company.

**FORM –A**

**AFFIDAVIT**

**[For issuance of duplicate securities]**

**Note: *This affidavit is to be executed in the presence of a Public Notary***

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

I/We, \_\_\_\_\_  
Son / daughter 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 No.	No. of securities held	Security Certificate No.	Distinctive Nos.	
				From	To
1)					
2)					
3)					

2. 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 that behalf.

3. 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.

4. 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 Registrar and Transfer Agent / Company, for cancellation.

5. 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.

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.

Deponent(s) (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_

Solemnly affirmed at

Signature of the

Deponent(s): X\_\_\_\_\_

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

Signed before me

Place: \_\_\_\_\_

Date : \_\_\_\_\_

X -----

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



**Form-B**

**INDEMNITY**

**[For issuance of duplicate securities]**

**Note: This indemnity is to be executed in the presence of a Public Notary / Gazetted Officer**

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

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, am/are the sole/joint holder/s of the Securities in following folios.  
 I/We request you to issue duplicate certificate(s) for securities, as detailed below in my/our name(s):

Name of the Company	Certificate No.**	Distinctive No.**	Folio No. **	No. and Face value of securities held
1				
2				
3				
4				

\*\*In case of non-availability of Certificate Nos./Distinctive Nos./ Folio nos., security holder shall obtain the same from RTA.

2. 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 hereby jointly and severely 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.

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 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Tel. No.	_____
Email id	_____
Date	_____

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

<b>FOR OFFICE USE ONLY</b>
<b>Signature checked by :</b>
_____

Signed before me

at: \_\_\_\_\_

on : \_\_\_\_\_

Signature of Notary / JMFC

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

**RTA / ISSUER COMPANY NAME AND ADDRESS**

Name:

Date:

Address:

Dear Sir/Madam,

**LETTER OF CONFIRMATION**

**Sub: Issuance of Securities in dematerialized form in case of Investor Service Requests**

**Name of the Company:**

We refer to the request received from you for issuance of securities in your name. We would like to inform you that the request has been approved as detailed below:

Name of first holder & PAN Joint holder 1 & PAN Joint holder 2 & PAN	
Number of securities	
Folio Number	
Certificate numbers	
Distinctive numbers	
Lock-In	Yes or No. If yes, lock-in from ____/____/____ till ____/____/____ (DD/MM/YYYY)

As you may be aware, SEBI vide Gazette Notification no. SEBI/LAD-NRO/GN/2022/66 dated January 24, 2022, has mandated that the securities that are issued pursuant to investor service request shall henceforth be issued in demat mode only and hence the security certificates (wherever applicable) are retained at our end.

Accordingly, within 120 days of this letter, please request your Depository Participant (**DP**) to demat these securities using the Dematerialization Request Form (**DRF**). Please fill the DRF with the details mentioned in this letter, sign it and present this letter in original to your DP along with the DRF for enabling your DP to raise a Demat Request Number (**DRN**). In case you do not have a demat account, kindly open one with any DP. Please note that you can open Basic Service Demat Account at minimal / nil charges.

Please note that **this letter is valid only for a period of 120 days** from the date of its issue within which you have to raise demat request with the DP as above. Any request for processing demat after the expiry of aforesaid 120 days will not be entertained and as per the operating guidelines issued by SEBI, the subject securities shall be transferred to a Suspense Escrow Demat Account of the Company.

Thanking you,

Yours faithfully,  
For ABCD Limited (RTA)  
Authorized Signatory

**Form ISR-4**

(Refer circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022 on Issuance of Securities in dematerialized form in case of Investor Service Requests)

**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 and undertake to request the Depository Participant to dematerialize my / our securities within 120 days from the date of issuance of Letter of Confirmation, received from the RTA/Issuer Company** (tick ☐ as relevant, refer to the instructions):

- Demat Account No. (If available):    
Provide Client Master List (**CML**) of your Demat Account from the Depository Participant\*
- 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> )	

**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:**

- I. ☐ Duplicate securities certificate

II. ☐ Claim from Unclaimed Suspense Account

Securities claimed	(in numbers)
	(in words)

III. ☐ Replacement / Renewal / Exchange of securities certificate

(that is defaced, mutilated, torn, decrepit, worn out or where the page on the reverse is fully utilized)

IV. ☐ Endorsement

V. ☐ Sub-division / Splitting of securities certificate

VI. ☐ Consolidation of securities certificate/Folios

VII. ☐ Transmission

VIII. ☐ Transposition

*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 shall issue a 'Letter of Confirmation' to the securities holder/claimant, which is valid only for 120 days. Using this 'Letter of Confirmation', the securities holder/claimant shall request the DP to dematerialize the securities, failing which the securities shall be credited to the Suspense Escrow Demat Account of the Company.