

Norms for PAN, KYC, nomination update and process of investors' services

SEBI has, vide the Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 and amended on 17th November 2023, mandated the furnishing of PAN, address with PIN, mobile number, bank account details and nomination / opt out of nomination by holders of physical securities. Also, shareholders are requested to register the email ID with the folio, to be able to correspond and receive relevant communication.

SEBI has introduced the following forms (available on forms option) to standardize and simplify the processing of investor services requests by RTAs:

A) Form for availing investor services – Form ISR-1

The form ISR-1 is applicable for all requests to register PAN, Contact details (postal address, mobile number and e-mail), Bank Details or changes / update thereof for securities held in physical mode.

B) For updation of signature of security holder– Form ISR-2

For updating the signature of the securities holder, the holder / claimant shall furnish original cancelled cheque and banker's attestation of the signature as per **Form ISR-2**.

C) Nomination – Form SH-13/ Form SH-14/ Form ISR-3

It is mandatory for all holders of physical securities to furnish PAN, KYC and nomination details to the RTA. The details of nomination shall be furnished through hard copy with scan marked on mail.

Particulars	Form Name
For nomination as provided in the Rules 19 (1) of Companies (Share capital and debenture) Rules, 2014.	Form SH-13
Declaration to opt out.	Form ISR-3
Cancellation of nomination by the holder(s) (along with ISR-3) / Change of Nominee.	Form SH-14

D) For duplicate share certificate and other service requests – Form ISR-4

Form for requesting issue of duplicate certificate and other service requests for shares / debentures / bonds, etc., held in physical form – **Form ISR-4**.

E) For transmission of by Nominee/ Legal Heir – Form ISR-5

