

## **NORMS FOR PROCESSING INVESTOR'S SERVICE REQUESTS BY PHYSICAL SECURITIES HOLDERS**

As an ongoing measure to enhance the ease of doing business for investors in the securities market, the following norms shall be applicable vide the [SEBI Circular](#) dated November 03, 2021:

- Common and simplified norms for processing investor service requests pertaining to furnishing of PAN, KYC and nomination details by Registrar and Transfer Agents (RTAs)
- Electronic interface for processing investor's queries, complaints, and service requests
- Mandatory furnishing of PAN, KYC details and nomination by holders of physical securities
- Freezing of folios without valid PAN, KYC details and nomination
- Compulsory linking of PAN and Aadhaar by all holders of physical securities

SEBI has introduced the following forms to standardize and simplify the processing of investor services requests by RTAs:

**A. Form for availing investor services**

The form ISR-1 is applicable for all requests to register PAN, KYC details or changes / update thereof for securities held in physical mode – [Form ISR-1](#)

**B. Update of signature of securities holder**

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**

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 either through hard copy or electronic mode.

<b>Particulars</b>	<b>Form name</b>
For nomination as provided in the Rules 19 (1) of Companies (Share capital and debenture) Rules, 2014	<a href="#">Form SH-13</a>
Declaration to opt out	<a href="#">Form ISR-3</a>
Cancellation of nomination by the holder(s) (along with ISR-3) / Change of Nominee	<a href="#">Form SH-14</a>

If a member desires to opt out or cancel the earlier nomination and record a fresh nomination, he/she may submit the same in [Form No. ISR-3](#)

**Please note that -**

- From January 1, 2022, the RTAs shall not process any service requests or complaints received from the holder(s) / claimant(s), till PAN, KYC and Nomination documents/details are received.
- The folios in which PAN / KYC/ Nomination details are not available / updated will be frozen by the RTA w.e.f. 01.04.2023.

- Also note that the folios in which PAN is not linked to Aadhaar as on 31.03.2022 or any other date as may be specified by the Central Board of Direct Taxes will also be frozen by the RTA.
- After December 31, 2025, the frozen folios shall be referred by RTA / Bank to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and / or Prevention of Money Laundering Act, 2002.

#### **CONTACT DETAILS OF RTA**

##### **Link Intime India Private Limited**

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##### **Contact person**

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