

## PROCEDURE FOR DUPLICATE SHARE CERTIFICATE

- A requisition letter duly signed by all the shareholder/s
- Indemnity on a non-judicial stamp paper of Rs.100/- (**Form-B**) duly attested by a notary public with sign and seal.
- Affidavit on a non-judicial stamp paper of Rs.50/- (**Form A**) duly attested by a notary public with sign and seal.
- Copy of self-attested pan card and aadhar card of the shareholder .
- Form ISR-1 (format attached) duly filled in all respects and signed by the shareholder/s wherever applicable.
- Form ISR-2 (format attached) duly filled in all respects and attested by the bank with sign and seal.
- Original cancelled cheque leaf with the name of the shareholder and account no. printed on it (or) copy of front page of passbook (or) bank statement originally attested by bank.
- Nominee Registration form (Form SH13) Format attached) duly filled in all respects signed by the shareholder, nominee and witness along with self-attested copy of PAN of nominee (OR) Form – SH-3 (Nominee Opt out form)
- Copy of share certificate (or) original counter foil of dividend warrant (or) copy of allotment advice if the shares are purchased at the time of IPO (or) copy of transfer deed if purchased in market.
- Form ISR-4 along with Client master list of demat A/C with DP seal and signature.
- The following additional documents are to be submitted, if the value of shares exceeds Rs.5 Lacs as on the date of execution of documents.
- Original / Attested copy of FIR lodged with local police authorities towards the lost certificate. FIR should have the certificate & distinctive details.
- Newspaper advertisement on a widely circulated English newspaper (format attached). The entire page of newspaper has to be sent along with other documents.

For overseas securities holder: instead of submitting F.I.R / e-F.I.R /Acknowledged Police Complaint, shall be permitted to provide self declaration of the security Certificates lost/ misplaced/stolen, duly notarised / Apostilled / attested by the Indian Consulate /Embassy in their country of residence, along with self-attested copies of Valid passport and overseas address proof.

Notes :

- Affidavit/Indemnity Bond to be purchased in the name of holder(s)/applicant(s) and to be notarized and executed and signed before the Notary Public/ Gazetted Officer.
- Date of execution and attestation should be the same.
- Witness should be other than family member.
- The signature(s) of the holder(s) / witnesses on the indemnity must be affirmed before the Notary Public/Magistrate.
- Name and full address of the attesting authority for Indemnity bond and Affidavit must be mentioned.
- The attesting authority should affix their seal, notarial /court fee stamps and mention registration number, as applicable.
- The Notary Public should mention the Book No. and Serial No. against the notarization on Affidavit and Indemnity

# Form ISR-4

(see 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"/>	<input type="checkbox"/> Transmission
<input type="checkbox"/> Transposition (Mention the new order of holders here)	

### 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	1. 2.

certificate(s)	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)
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- 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	✓ <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

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.



	(Optional)	Depository Participant.
3	Proof of Address of the first holder	<p>Any one of the documents, only if there is change in the address;</p> <p><input type="checkbox"/> Unique Identification Number (UID) (Aadhaar)</p> <p><input type="checkbox"/> Valid Passport/ Registered Lease or Sale Agreement of Residence / Driving License</p> <p><input type="checkbox"/> Flat Maintenance bill accompanied with additional self-attested copy of Identity Proof of the holder/claimant.</p> <p><input type="checkbox"/> Utility bills like Telephone Bill (only land line)/ Electricity bill / Gas bill - Not more than 3 months old.</p> <p><input type="checkbox"/> Identity card / 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 duly attested by the employer with date and organisation stamp</p> <p><input type="checkbox"/> 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.</p> <p><input type="checkbox"/> Proof of address in the name of the spouse accompanied with self-attested copy of Identity Proof of the spouse.</p> <p><input type="checkbox"/> Client Master List (CML) of the Demat Account of the holder / claimant, provided by the Depository Participant.</p>
4	Bank details (to be updated for first holder in case of joint holding)	<p>Account Number: _____ #</p> <p>Bank Name: _____</p> <p>Branch Name: _____</p> <p>IFS Code: _____</p> <p>Provide the following:</p> <p><input type="checkbox"/> Original cancelled cheque bearing the name of the security holder; <b>OR</b></p>

			<input type="checkbox"/> Bank passbook/statement attested by the Bank;
5		E-mail address	_____#
6		Mobile	_____#

\* or any date as may be specified by the CBDT (DP: Depository Participant)  
 # In case it is not provided, the details available in the CML will be updated in the folio

**Authorization:** I/ We authorise you (RTA) to update the above PAN and KYC details in following additional folio(s) held in my / our name (use *Separate Annexure* if extra space is required):

S. No.	Name of the Issuer Company	Folio No.	Quantity of securities	Face value of securities	Distinctive number of securities (Optional)

in which I / We are the holder(s) (strike off what is not applicable).

**Declaration:** All the above facts stated are true and correct.

	Holder 1	Holder 2	Holder 3
Signature	✓		
Name	✓		
Full address	✓		
PIN	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

**Mode of submission of documents to the RTA**

Please use any one of the following mode:

- 1. Through 'In Person Verification' (IPV):** The authorized person of the RTA shall verify the original documents furnished by the investor and retain copy (ies) with IPV stamping with date and initials.
- 2. Through Post:** Hard copies of the documents which are self-attested.

**3. Through electronic mode with e-sign:** The holder(s)/ claimant(s) may furnish the documents to RTAs electronically including by way of email or through service portal of the RTA provided the documents furnished shall have e-sign\* of the holder(s)/ claimant(s).

\*E-Sign is an integrated service which facilitates issuing a Digital Signature Certificate and performing signing of requested data by e-Sign user. The holder/claimant may approach any of the empanelled e-Sign Service Providers, details of which are available on the website of [Controller of Certifying Authorities \(CCA\), Ministry of Communications and Information Technology \(https://cca.gov.in/\)](https://cca.gov.in/) for the purpose of obtaining an e-sign.

**Note**

<ul style="list-style-type: none"> <li>• Holders of physical securities in listed company are mandatorily required to furnish PAN, KYC details (Contact details, Bank Account Details, Signature) and Nomination (for all the eligible folios) to enable RTA to process any service request or complaints received from the security holder(s)/ Claimants.</li> </ul>	
<ul style="list-style-type: none"> <li>• Upon receipt or up-dation of bank details, the RTA shall, <i>suo-moto</i>, generate request to the company’s bankers to pay electronically all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.</li> </ul>	
<ul style="list-style-type: none"> <li>• RTA shall update the folio with PAN, KYC details and Nominee, within timelines as mentioned in the circular no. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/670 dated November 26, 2021. However, cancellation of nomination, shall take effect from the date on which this intimation is received by the company / RTA.</li> </ul>	
<ul style="list-style-type: none"> <li>• RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.</li> </ul>	
<ul style="list-style-type: none"> <li>• Specimen Signature</li> </ul>	<p><b>Option A</b></p> <ul style="list-style-type: none"> <li>i. Security holder shall provide the following documents:               <ul style="list-style-type: none"> <li>(a) Original cancelled cheque with name of the security holder printed on it; or</li> <li>(b) Self-attested copy of Bank Passbook/ Bank Statement;</li> </ul> <p style="text-align: center;"><b>and</b></p> <li>ii. Banker’s attestation of the signature of the same bank account as mentioned in (i) above as per <b>Form ISR - 2.</b></li> </li></ul> <p style="text-align: center;"><b>OR</b></p> <p><b>Option B</b></p> <ul style="list-style-type: none"> <li>• The investor may get his or her signature changed or updated by visiting the Office of the RTA in person. In such a case, the investor shall sign before the authorized personnel of the RTA, along with PAN card and any one additional document mentioned at Serial Nos. 1-4 of Annexure – E of SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023, in original for verification by the RTA, and submit self-attested copies of the same.</li> </ul>



<ul style="list-style-type: none"> <li>Nomination**</li> </ul>	<ul style="list-style-type: none"> <li>Providing Nomination: Please submit the duly filled up Nomination Form (<a href="#">SH-13</a>) or 'Declaration to Opt out of Nomination' as per <a href="#">Form ISR-3</a>, in SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023</li> <li>Variation in Existing Nomination: Please use <a href="#">Form SH-14</a></li> <li>Cancellation of Existing Nomination and opting out: use <a href="#">Form SH-14</a> &amp; <a href="#">Form ISR – 3</a></li> </ul>
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\*\* Nomination (**Form SH-13 or SH-14**) / 'Declaration to Opt-Out of nomination' (**Form ISR – 3**), has to be furnished by the holder(s) separately for each listed company.

*(Page 6 & 7 is for information to investors; print out of the same is not required)*

# Form ISR – 2

(see SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

## Confirmation of Signature of securities holder by the Banker

1. Bank Name and Branch		
2. Bank contact details Postal Address Phone number E-mail address		
3. Bank Account number		
4. Account opening date		
5. Account holder(s) name(s)	1)  2)  3)	
6. Latest photograph of the account holder(s)		
<div style="display: flex; justify-content: space-around; align-items: center;"><div style="border: 1px solid black; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center;">1<sup>st</sup> Holder</div><div style="border: 1px solid black; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center;">2<sup>nd</sup> Holder</div><div style="border: 1px solid black; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center;">3<sup>rd</sup> Holder</div></div>		
7. Account holder(s) details as per Bank Records		
a) Address		
b) Phone number		
c) Email address		
d) Signature(s)		
1) <div style="border: 1px solid black; width: 150px; height: 40px;"></div>	2) <div style="border: 1px solid black; width: 150px; height: 40px;"></div>	3) <div style="border: 1px solid black; width: 150px; height: 40px;"></div>
Signature verified as recorded with the Bank		
Seal of the Bank		
	(Signature)	
Place:	Name of the Bank Manager	
	Employee Code	
Date:	E-mail address	

**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/spouse 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 this 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 RTA / 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 in 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 severally 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	
Tel. No.	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Email id	_____

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

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

Date

Signed before me

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

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

Signature of Notary / JMFC

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