**Form ISR-4**

(see circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2023/37 dated March 16, 2023 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:**\_\_ /\_\_\_ /\_\_\_\_\_\_

1. **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](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html) 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](https://www.sebi.gov.in/sebi_data/commondocs/dec-2021/pdf%20Form%20ISR-1%20%281%29_p.pdf) in [SEBI circular dated November 03, 2021](https://www.sebi.gov.in/legal/circulars/nov-2021/common-and-simplified-norms-for-processing-investor-s-service-request-by-rtas-and-norms-for-furnishing-pan-kyc-details-and-nomination_53787.html).

1. I / We request you for the following (tick  relevant box)

|  |  |
| --- | --- |
| 󠄀 Issue of Duplicate certificate | 󠄀Claim from Unclaimed Suspense Account |
| 󠄀 Replacement / Renewal / Exchange of securities certificate | 󠄀 Endorsement |
| 󠄀 Sub-division / Splitting of securities certificate | 󠄀 Consolidation of Folios |
| 󠄀 Consolidation of Securities certificate 󠄀 | 󠄀 Transmission |
| 󠄀 Transposition *(Mention the new order of holders here)* |

1. **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

1. **Document / details required for specific service request:**

1. 󠄀 Duplicate securities certificate
2. 󠄀 Claim from Unclaimed Suspense Account

|  |  |
| --- | --- |
| Securities claimed  |  (in numbers)  (in words) |

1. 󠄀 Replacement / Renewal / Exchange of securities certificate

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

1. 󠄀 Endorsement
2. 󠄀 Sub-division / Splitting of securities certificate
3. 󠄀 Consolidation of securities certificate/Folios
4. 󠄀 Transmission
5. 󠄀 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.