

# PROCEDURE FOR TRANSFER, TRANSMISSION, DEMAT, REMAT OF SHARES, CHANGE OF ADDRESS, NOMINATION, POWER OF ATTORNEY AND TRANSFER TO IEPF etc.

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## 1. Change of Address:

### 1.1 Receipt of Requests –

Receipt of request for Change of address can be entertained only from:

1. Registered Sole / First holder (Security holder)
2. Joint Holder, if first holder is deceased

### 1.2 Documentation –

#### Documentation by Registered Sole / First holder

- Requisition letter signed by the Sole / First holder
- Copy of anyone of address proof (Aadhaar Card / Voter ID / Passport / Ration card / Driving License)
- Bankers Attestation on the signature of the Sole / First shareholder (if the signature does not match with specimen available with our records)

#### Documentation by Registered Joint holder

- Requisition letter from the Joint holder
- Copy of anyone of address proof (Aadhaar Card / Voter ID / Passport / Ration card / Driving License)
- Bankers Attestation on the signature of the Joint shareholder (if the signature does not match with specimen available with our records)
- Attested copy of Death certificate of the First holder

#### Documentation by Body Corporate holder

- Requisition letter on the letterhead of the Company signed by the Authorised signatory
- Certified copy of Board resolution authorizing the authorized signatory to sign the request letter on behalf of the company
- Copy of anyone POI of the signatory with photo & signature (PAN / Passport / Driving License)
- Certified copy of Form filed with ROC for change of address



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## 2. Registration / Change of Bank Mandate:

### 2.1 Receipt of Requests –

Receipt of request for Change of Bank Mandate can be entertained only from:

1. Registered Sole / First holder (Security holder)
2. Joint Holder, if first holder is deceased

### 2.2 Documentation –

#### Documentation by Registered Sole / First holder

- Requisition letter/duly filled in ECS Mandate form signed by the Sole / First holder.
- Cancelled original cheque leaf
- Bankers Attestation on the signature of the Sole / First shareholder (if the signature does not match with specimen available with our records)

#### Documentation by Registered Joint holder

- Requisition letter/duly filled in ECS Mandate form from the Joint holder
- Cancelled original cheque leaf
- Bankers Attestation on the signature of the Joint shareholder (if the signature does not match with specimen available with our records)
- Notary/Gazetted officer attested copy of Death certificate of the First holder

#### Documentation by Body Corporate holder

- Requisition letter on the letterhead of the Company / duly filled in ECS Mandate form, signed by the Authorised signatory.
- Certified copy of Board resolution authorizing the authorized signatory to sign the request letter on behalf of the company
- Copy of anyone POI of the authorised signatory with photo & signature (PAN / Passport / Driving License)
- Cancelled original cheque leaf



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## 3. Transmission of Shares:

### Single Holder Transmission:

#### 3.1 Receipt of Requests –

Receipt of request for transmission of shares would be entertained from the legal heir(s)/ claimant(s), in whose name the shares have to be transmitted.

#### 3.2 Documentation -

The following documents would be required for transmission of shares.

✓ **For Total market value of securities amounting to less than Rs.2 lakhs as on date of application:**

- Original Share Certificates
- Transmission Request form with all the particulars duly filled in and signed by all the legal heirs/ claimants.
- Copy of death certificate duly attested by the Notary Public or Grade 1 Gazetted officer.
- Self- attested copy of PAN Card of the legal heir/claimant, in whose name the shares have to be transmitted.
- Indemnity bond on a non-judicial stamp paper of Rs.100/- signed by all legal heirs on all pages and duly attested by notary public with seal and signature.
- Affidavit on a non-judicial stamp paper of Rs.50/- signed by all the legal heirs/ claimants, duly attested by Notary public with seal and signature.
- A No objection certificate (NOC), executed by all the legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed executed by all legal heirs/claimant(s) duly notarized by notary public with seal and signature.
- Succession certificate (or) Probate of Will (or) Will (or) Letter of Administration (or) Court Decree, as may be applicable in terms of Indian Succession Act, 1925 duly attested by Notary Public seal and signatures. (in case of submission of this document, indemnity and affidavit need not be submitted.)

✓ **For total market value of shares amounting to more than Rs.2 lakhs as on date of application:**

- Original Share Certificates



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- Transmission Request form with all the particulars duly filled in and signed by all the legal heirs/ claimants.
- Copy of death certificate duly attested by the Notary Public or Grade 1 Gazetted officer.
- Self- attested copy of PAN Card of the legal heir(s)/claimant(s), in whose name the shares have to be transmitted.
- Succession certificate (or) Probate of Will (or) Will (or) Letter of Administration (or) Court Decree, as may be applicable in terms of Indian Succession Act, 1925 duly attested by Notary Public seal and signatures.
- Affidavit made on a non-judicial stamp paper of Rs.50/- signed by all legal heirs / claimants duly attested by notary public with seal and signature.

## **4. Joint Holder Transmission (Deletion of the Name of the shareholder)**

### **4.1 Receipt of Requests –**

Receipt of request for transmission of shares would be accepted only from the surviving holder(s), in whose name the shares, have to be transmitted.

### **4.2 Documentation -**

- Original Share Certificates
- Transmission Request form with all the particulars duly filled in and signed by the surviving holders.
- Copy of death certificate duly attested by the Notary Public or Grade 1 Gazetted officer.
- Self- attested copy of PAN Card of the surviving holder(s), in whose name the shares have to be transmitted.
- Banker's attestation on the signature of the shareholder (if there is a signature mismatch with the specimen available at our end).

## **5. Transposition of Shares:**

### **5.1 Receipt of Requests –**

Receipt of request for transposition of shares would be accepted only from the registered shareholder(s).

### **5.2 Documentation –**



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## Documentation by shareholders

- A duly signed letters from all the shareholders.
- Original Share Certificates
- Self-Attested copy of PAN Card of all the shareholders.
- Banker's attestation on the signature of the shareholder (if the signature doesn't match with the specimen at our end.

## 6. Dematerialisation of Shares:

### 6.1 Receipt of Requests –

Receipt for request of dematerialization of shares would be entertained from:

1. Depository Participants

### 6.2 Documentation –

#### Documentation by DP

- Original Share Certificates
- Duly filled in Demat Request form, along-with DP seal and signature.
- Self-Attested copy of PAN Card of the shareholder(s).
- Banker's attestation on the signature of the shareholder(s) (if the signature does not match with the specimen with our records).
- In case of change of name or variation in the name of the shareholder(s), Affidavit or Gazette notification/ Self declaration form from the shareholder.
- Annexure O.A forms from the DP for transposition cum demat and Annexure O.B forms in case of Transmission cum demat of shares.

#### Documentation by Body Corporate holder

- Original Share Certificates.
- Duly filled in Demat Request form, along-with DP seal and signature.
- Certified copy of Board resolution authorizing the authorized signatory to sign the DRF on behalf of the company
- Copy of PAN Card of the authorized signatory
- Copy of Memorandum and Articles of Association of the Company.

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## **7. Rematerialisation of Shares:**

### **7.1 Receipt of Requests –**

Receipt for request of rematerialisation of shares would be entertained from:

1. Registered share-holders.
2. Depository Participants.

### **7.2 Documentation –**

#### **Documentation by Registered shareholders/ DP**

- Duly filled in Remat Request form, along-with DP seal and signature.
- Copy of client master list of the shareholder, from the DP.

#### **Documentation by Body Corporate holder**

- Duly filled in Remat Request form.
- Certified copy of Board resolution authorizing the authorized signatory to sign the remat request form on behalf of the company
- Copy of Memorandum and Articles of Association of the Company.
- Copy of client master list from the DP with their seal and signature.

## **8. Split/Consolidation/ Mutilation of certificates:**

### **8.1 Receipt of Requests –**

Receipt of request for split/Consolidation/Mutilation of share certificates would be accepted only from the registered shareholders.

### **8.2 Documentation –**

#### **Documentation by Shareholders**



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- Original Share Certificates.
- A request letter signed by all the shareholders.
- Banker attestation on the signature of the shareholders (if the signature does not match with the specimen signature available with our records.)

## 9. Registration/Change of Nomination:

### 9.1 Receipt of Requests –

Receipt for request of Registration/ change of Nomination, would be entertained only from the registered shareholder/(s).

### 9.2 Documentation –

#### Documentation by Registered shareholder(s).

- Request letter from the first/sole shareholder.
- Nomination form –SH 13, duly filled in and signed by the shareholders.
- Banker's attestation on the signature of the shareholder (if the signature does not match with the specimen with our records.
- Copy of anyone of the ID Proof (Aadhaar card/ Voter ID/ Passport/ Ration Card/Driving License.)

## 10. Registration / Change of POA:

### 10.1 Receipt of Requests –

Receipt for request of Registration/ change of POA would be accepted from:

- Registered sole/ First holder (security holder)
- Joint Holder, if first holder is deceased.

### 10.2 Documentation –

#### Documentation by Registered shareholders.

- Request letter from all the shareholders.
- Affidavit for POA signed by the POA Holder, duly attested by the Notary public with seal and signature.



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## Documentation by Body Corporate holder.

- Requisition letter on the letter-head of the Company signed by the Authorized Signatory.
- Certified true copy of Board Resolution authorizing the authorized signatory to sign the request letter on behalf of the Company.
- Copy of anyone POI of the signatory with photo & signature( PAN/Passport/Driving License)
- Affidavit for POA duly attested by the Notary public with seal and signature.

## 11. Change of Name:

### 11.1 Receipt of Requests –

Receipt of request for change of name can be entertained only from:

1. Registered sole/first holder
2. Joint holder if the first holder is deceased.

### 11.2 Documentation –

#### Documentation by the shareholder

- A requisition letter duly signed by the shareholder mentioning the name correction on the share certificate
- Original share certificates
- Self-attested copy of the PAN card and Aadhaar card of the registered share holder.
- Copy of Gazette notification regarding the name change duly attested by Notary public with seal and signature.

(Or)

Affidavit on a non-judicial stamp paper of Rs.50/- duly attested by the Notary public with seal and signature.

(Or)

Marriage certificate with regard to change of name, duly attested by the Notary public with seal and signature.

- A duly notarized copy of birth certificate/ school certificate, if the request is for the name correction – minor to major.
- Cancelled cheque leaf and the copy of Bank pass book
- Banker's attestation on the signature of the shareholder (if the signature does not match with the specimen with our records.



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## **Documentation by Body Corporate holder**

- Requisition letter signed by the Authorised signatory for change of name.
- Original share certificates.
- Certified copy of Board resolution authorizing the authorized signatory to sign the requisition letter on behalf of the company.
- Copy of PAN Card of the Authorized signatory.
- Copy of Memorandum and Articles of Association of the Company.

## **12. Issue of Duplicate share certificates:**

### **12.1 Receipt of Requests –**

Receipt of request for issue of duplicate share certificates can be entertained from:

1. Registered share holder
2. Legal heirs of the deceased shareholder, along-with the transmission form by the joint holder.

### **12.2 Documentation –**

#### **Documentation by the registered shareholder**

- A requisition letter duly signed by all the shareholders.
- Indemnity bond on a non-judicial stamp paper of Rs.100/- signed by all shareholders on all pages and duly attested by a Notary public with seal and signature.
- Affidavit on a non-judicial stamp paper of Rs.50/- signed by all shareholders on all pages and duly attested by a notary public with seal and signature.
- Advertisement reporting loss of the securities in a widely circulated Newspaper at the place where the registered office of the Company whose securities have been lost, for the value of the shares is above Rs.10,000/-
- Original or attested copy of FIR with the details as folio no, certificate no, all distinctive details / no. of shares, for loss of certificate or the copy of police complaint lodged with the local police station with seal and signature.
- Self-Attested copy of PAN Card of the shareholders.
- Self-attested copy of Aadhaar card of the shareholder, as the proof of identity.
- Bankers Attestation on the signature of the registered shareholder (if the signature does not match with specimen available at our records.



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## 13. Investor Education and Protection Fund (IEPF Transfer):

- MCA vide their notification dated 05.09.2016 made the rules namely, Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 effective from 07.09.2016.
- Further, MCA had issued notifications and circulars, with regard to the modus operandi of transfer of shares to IEPF Authority.
- According to the Rules and notifications, the below mentioned procedure would be followed:

## 14. Procedure to claim Refund from IEPF

- Download the form IEPF-5 from the website of IEPF (<http://www.iepf.gov.in>) for filing the claim for refund. Read the instructions provided on the website/instruction kit along with the e-form carefully before filling the form.
- After filling the form save it on your computer and submit the duly filled form by following the instructions given in the upload link on the website. On successful uploading an acknowledgement will be generated indicating the SRN. Please note the SRN for future tracking of the form.
- Take a printout of the duly filled IEPF-5 and the acknowledgement issued after uploading the form.
- Submit indemnity bond in original, copy of acknowledgement and self-attested copy of e-form along with the other documents as mentioned in the Form IEPF-5 to Nodal Officer (IEPF) of the company at its registered office in an envelope marked "Claim for refund from IEPF Authority".
- Claim forms completed in all aspects will be verified by the concerned company and on the basis of company's verification report, refund will be released by the IEPF Authority in favor of claimants' Aadhaar linked bank account through electronic transfer.

## 15. Procedure to claim of dividend:

- A requisition letter duly signed by shareholders for claiming unpaid dividend.
- Original Cancelled Cheque for crediting dividend to his account
- If he is holding shares in Physical mode Bank account details will be updated and credited with all outstanding dividends to his account.
- If he is holding shares in Demat mode the shareholder have to update his bank account to enable the company to credit dividends to his account.



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- Bankers Attestation on the signature of the registered shareholder (if the signature does not match with specimen available at our records.



