

Annexure-A

Operational Guidelines for Issuers and R&T Agents for doing away with requirement of issuance of Letter of Confirmation (LOC) and to effect direct credit of securities in dematerialization account of the investor.

1. In case of following Investor Service Requests (ISR) for dematerialization of securities, the security holder / claimant shall submit the ISR as prescribed by SEBI along with Demat Conversion Request Form (DCRF) and latest Client Master List (CML) (duly attested by Depository Participant) to Issuer / R&T Agent.:
 - a. Issue of duplicate securities certificate
 - b. Claim from unclaimed suspense account
 - c. Renewal / Exchange of securities certificate
 - d. Endorsement
 - e. Sub-division / Splitting of securities certificate
 - f. Consolidation of securities certificates/folios
 - g. Transmission
 - h. Transposition
 - i. Any other service request prescribed by SEBI from time to time

The specimen of the DCRF is enclosed as **Annexure-Aa**.

2. The Issuer / R&T Agent shall verify that the particulars appearing on the ISR correspond to the particulars furnished in DCRF.
3. The Issuer / R&T Agent shall ensure that the security holder / claimant submits a separate DCRF for each demat account maintained with the Depository Participant.
4. No service request shall be entertained by the Issuer / R&T Agent except when submitted by security holder / claimant.
5. The signature on DCRF submitted shall be verified and attested by the respective Depository Participant of the security holder / claimant.
6. The Issuer / R&T Agent shall ensure that a separate DCRF submitted by security holder / claimant for securities having distinct International Securities Identification Number [ISIN].
7. The Issuer / R&T Agent shall ensure that the DCRF submitted by security holder / claimant is duly filled, complete in all respects and shall verify the signature(s) against its records.
8. The Issuer / R&T Agent shall also verify that the Distinctive Numbers (as provided in DCRF) are available in the Depository system for dematerialization in such security and shall ensure that the appropriate International Securities Identification Number [ISIN] is correctly filled in DCRF, wherever applicable.
9. The Issuer / R&T Agent shall ensure the pattern of holdings in the demat account matches the pattern of holdings as reflected in the ISR for initiation of demat conversion. Wherever, the names appearing on the certificate(s) correspond to the names in the account but are recorded in a different order, the Issuer / R&T Agent

shall obtain duly filled in Transposition Form (enclosed as **Annexure-Ab**) along with DCRF from the security holder / claimant.

10. In case of Transmission (Name Deletion) and dematerialization of securities, Issuer / R&T Agent shall ensure that the surviving holder(s) submits duly filled in Transmission Form (enclosed as **Annexure-Ac**) along with DCRF.
11. In case the signature of the security holder recorded with the Issuer / R&T Agent varies with the signature recorded in demat account, the Issuer / R&T Agent shall obtain duly filled in Signature Verification Form (enclosed as **Annexure-Ad**) along with DCRF from the security holder.
12. Once Issuer / R&T Agent satisfies itself with the above, it may initiate dematerialization request through '**Demat without LOC**' module on DPM-SHR of NSDL.
13. The Issuer / R&T Agent shall capture the DP ID, Client ID of the security Holder / claimant, ISIN of the security, quantity requested, folio number, certificate number and DNR details as provided in DCRF by the security holder / claimant while generating demat request through the above module on DPM-SHR.
14. Upon verification of the request by Issuer / R&T Agent, the Demat Request Number (DRN) will be generated. Issuer / R&T Agent shall mention the same on DCRF submitted by the security holder / claimant.
15. Once DRN is generated in NSDL system, a link of investor service portal will be sent to the security holder / claimant through SMS as well as email as per details available in their respective demat account. The said link will remain valid for the period 21 days upon generation of the DRN in NSDL system for confirmation to the security holder / claimant.
16. The security holder / claimant shall complete OTP verification for login to the investor service portal.
17. Upon login to the investor service portal, security holder / claimant will be able to view the details of demat conversion requests generated by the respective Issuers / R&T Agents in NSDL system under their demat account.
18. Upon verification of the details of the DRN generated, security holder / claimant shall proceed to generate the OTP. Upon receipt of the OTP based confirmation from the security holder / claimant, Issuer / R&T Agent will be able to confirm the DRN generated in the NSDL system as per the existing process.
19. If the OTP based confirmation is not provided by the security holder / claimant within the period of 21 days from the generation of DRN, such demat requests shall stand cancelled in NSDL system and Issuers / R&T Agents are required to re-generate the DRN in NSDL system for the said request.
20. Upon confirmation / rejection of the DRN by the Issuer / R&T Agent, a system generated acknowledgment will be sent to the security holder / claimant from NSDL system.
21. Upon credit of securities in the demat account of the security holder / claimant, the Issuer / R&T Agent shall deface the original certificates as "Securities Issued in dematerialized form" and shall retain the original certificates and DCRF for the period of eight years.

Annexure-Aa

Issuer / Registrar and Transfer Agent Name

Issuer / Registrar and Transfer Agent Address

Registrar and Transfer Agent ID

DEMATERIALISATION CONVERSION REQUEST FORM

Date : _____

I/We request you to provide following service and dematerialize the securities into my/our account as per the details given below:

Service Request	Tick the relevant
Issue of duplicate security certificate	
Claim from unclaimed suspense account	
Renewal / Exchange of securities certificate	
Endorsement	
Sub-division / Splitting of security certificates	
Consolidation of security certificates / folios	
Transmission	
Transposition	
Any other services (Please specify)	

DP ID												
Client ID												
Sole/First Holder Name												
Second Holder Name												
Third Holder Name												
Type of Security	Equity / Others (please specify)											
Quantity to be dematerialised (in figures) (in words)												
Face Value												
ISIN (To be filled up by the Issuer / R&T Agent)	I	N										

Details of Securities:

Folio No	Certificate Nos.		Distinctive Nos.		Quantity
	From	To	From	To	

Declaration

I/We hereby declare that I/We are the registered owner / claimant of the above-mentioned securities. The original certificates are hereby surrendered by me/us for dematerialisation. I/We also hereby declare that the securities surrendered by me/us for dematerialisation are free from any lien or charge or encumbrance and represents the bonafide securities of the company to the best of my/our knowledge and belief.

Holder(s)	Signature(s)
Sole/ First Holder	
Second Holder	
Third Holder	

Participant Authorisation

We have verified and certify that the holders of the beneficiary account with us are held in the same name(s) with the above conversion request for dematerialisation

Name of the Executive:

Signature:

Participant's Stamp & Date

Acknowledgement

Serial No. (pre-printed)

We hereby acknowledge the receipt of service request for _____ shares/units/bonds/

debentures of _____

for conversion into dematerialisation by Mr/Ms/M/s _____

_____ having DP ID _____ and Client ID _____.

Date :

Issuer / R&T Agent Stamp & Signature

Annexure-Ab

Issuer / Registrar and Transfer Agent Name

Issuer / Registrar and Transfer Agent Address

Registrar and Transfer Agent ID

TRANSPOSITION FORM ALONGWITH DEMATERIALISATION CONVERSION REQUEST

(for transposition and demat cases)

Date	D	D	M	M	Y	Y	Y	Y
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We, the undersigned, being the joint holder(s) of securities of (Name of the Company) wish to have our holdings transposed in the following order in which we have a demat account. We are also submitting the DCRF for dematerialisation.

Names on the certificate of security:

Name	Signature(s)

Details of our client account:

DP ID	Client ID	Names of the account holders

Note: Separate Transposition form should be filled by the joint holders for securities having distinct ISINs

Annexure-Ac

Issuer / Registrar and Transfer Agent Name

Issuer / Registrar and Transfer Agent Address

Registrar and Transfer Agent ID

FORM FOR TRANSMISSION ALONGWITH DEMATERIALISATION CONVERSION REQUEST

Date : _____

I/We, the undersigned, being the joint holders of the following securities along with Mr./Mrs. Ms. _____ (*name of the deceased*) wish to have the name of the deceased deleted from the security certificates. A copy of the death certificate, duly attested by a Notary Public or by a Gazetted officer or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority and the dematerialisation request form along with the physical certificates are enclosed. I/We request you to process the same. The details are given below:

DP ID								
Client ID								
Company Name								
Type of Security Equity/Others (please specify)								
Quantity								
(in figures)								
(in words)								

Sr. No.	Name of the survivor(s)	Signature(s)
1.		
2.		
3.		

(to be filled -in by the Issuer / its R&T Agent)

ISIN*	I	N										
Dematerialisation Conversion Request No. (DCRN) of the dematerialisation request												

Instructions :

1. Separate forms should be filled up for each ISIN by the survivor(s).
2. Each form should be accompanied by a copy of the death certificate, duly attested by a Notary Public or by a Gazetted Officer or Death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority.

Annexure-Ad

Issuer / Registrar and Transfer Agent Name

Issuer / Registrar and Transfer Agent Address

Registrar and Transfer Agent ID

**SIGNATURE VARIATION FORM ALONGWITH DEMATERIALISATION CONVERSION REQUEST
(to be submitted along with Demat Conversion Request Form)**

Date								
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DP ID								
Client ID								
DCRN No.	(to be filled by the Issuer / its R&T Agent)							
1. I/We wish to inform that my/our signature in the records of Issuer or RTA may vary from the signature as captured in my/our demat account (Details of which have been mentioned in Dematerialisation Conversion Request Form).								
2. My/our signature/s might have changed/alterd by passing of time and therefore I/we request you to consider this form alongwith the Demat Conversion Request Form to facilitate process of the service request.								
Signature details								
	Signature with Issuer/RTA							
First/Sole Holder								
Second Holder								
Third Holder								