

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.

Particulars	Form name
For nomination as provided in the Rules 19 (1) of Companies (Share capital and debenture) Rules, 2014	Form SH- 13
Declaration to opt out	Form ISR - 3

Particulars	Form name
Cancellation of nomination by the holder(s) (along with ISR-3) / Change of Nominee	Form SH -14

D) Form for Requesting issue of Duplicate Certificate and other Service Requests for shares/Debentures/Bonds, etc., held in Physical form. – [ISR 4](#)

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