**MANAPPURAM FINANCE**

**LIMITED (MAFIL)**

**POLICY FRAMEWORK ON DEALING WITH AND THE MANNER OF CLAIMING UNCLAIMED AMOUNT OF SECURED REDEEMABLE NON-CONVERTIBLE DEBENTURES (“NCDS”) BY INVESTORS**

|  |  |  |
| --- | --- | --- |
|  | **Version Control** |  |
| **Version**  **Number** | **Description** | **Date** |
| **Version 1** | **New Policy** | **07.02.2024** |
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| --- | --- | --- |
| **Effective Date** | **:** | **07-02-2024** |
| **Next Review Date** | **:** | **07-02-2025** |
| **Policy Owner** | **:** | **Secretarial department** |
| **Prepared By** | **:** | **Secretarial department** |
| **Reviewed by** | **:** | **MAFIL Policy Review Committee** |
| **Approved by** | **:** | **Board of Directors** |

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# PREAMBLE

The Board of Directors (“**The Board**”) of Manappuram Finance Limited (“**the Company**”) has adopted the following policy and procedures on transfer of unclaimed amount to escrow account and then to Investor Education and Protection Fund (IEPF) in line with the SEBI Circular SEBI/HO/DDHS/DDHSRAC-1/P/CIR/2023/176 dated November 08, 2023 . The said circular mandates the entities to adopt a standard process to be followed for transfer of unclaimed amount and the manner of claiming the said amount by the investors.

This Policy shall be applicable to the Company with effect from 01st March, 2024, and all the amendments to the policy shall apply to the company from time to time.

# DEFINITIONS

1. **Public Issue NCDs** means Non-Convertible Debenture issued by way of public issue which are listed and rated.

1. **Unclaimed Amount** includes unclaimed / unpaid maturity amount and/or interests.

1. **RTA** means Registrar and Transfer Agents

1. **IEPF** means Investor Education and Protection Fund

1. **Retail NCDs** means Non-Convertible Debenture issued by way of private placement by the company which are neither listed nor rated.

1. **Institutional NCDs** means Non-Convertible Debenture issued by way of private placement through or to Institutional mode which are listed and rated.

# INTIMATION TO THE INVESTORS

Company will play a pro-active role in finding the whereabouts of the NCD holders whose matured amount or interests have remained unpaid, thereby reducing the unpaid matured amounts.

Investors will be intimated by the RTA/Company on payment of maturity amount or interest, through E-mail or Short Messaging Service (SMS) through phone in the last available contact number with the details of transfer.

# POLICY AND PROCESS FOR TRANSFER TO ESCROW ACCOUNT AND IEPF ACCOUNT

1. Where the interest/redemption amount has not been claimed within thirty days from the due date of interest/redemption payment, then within seven days from the date of expiry of the said period, the amount will be transferred to an escrow account opened by the company in any scheduled bank:

Provided that the interest/redemption amount that is unclaimed and outstanding for a period of less than seven years as on the date of notification of this subregulation shall be transferred to the escrow account within thirty days, where it shall remain for the intervening period up to seven years.

1. Any amount transferred to the escrow account that remains unclaimed for seven years shall be transferred to the ‘Investor Education and Protection Fund’ constituted in terms of section 125 of the Companies Act, 2013

# OBLIGATIONS OF THE ENTITY

1. Transfer of unclaimed amounts to Escrow Account: In terms of Regulation 61A (2) of the LODR Regulations, the company shall, within seven days from the date of expiry of the said period of thirty days, transfer the unclaimed amounts to an Escrow Account opened by it in any scheduled bank.

1. Interest in case of default: In case a default is made in transferring the amount referred in paragraph ‘a’ above or part thereof to the Escrow Account of the company, it shall pay, interest on the amount that has not been transferred to the said account, for the period of default i.e. from the date of default till the date of transfer to the Escrow Account, at the rate of twelve percent per annum. The said interest amount shall accrue to the investors in proportion to the amount remaining unclaimed.

1. Designating Nodal Officer: The company shall designate as ‘Nodal Officer’, a person who may either be a Director, Chief Financial Officer, Company Secretary or Compliance Officer of the company. Such officer shall be the point of contact for investors entitled to claim their unclaimed amounts, SEBI, Stock Exchange(s) and Depositories. The company shall display the name, designation and contact details of the Nodal Officer on its website. In case there is a change in the Nodal Officer due to any reason, the company shall designate another person as a Nodal Officer within fifteen days of such change.

1. Display of information w.r.t. unclaimed amounts by the company on its website: The company, shall, within a period of thirty days of transferring the unclaimed amount to the Escrow Account, upload details on its website in the format provided in **Annexure A**.

1. Search facility for investor: The company shall provide a search facility on its website for investors to verify if there is any unclaimed amount due to them and lying in the Escrow Account of the company. The search criterion may be based on combinations, such as:

* 1. PAN and Date of birth; or
  2. Name and Depository Participant Identification (DP ID)/ Client

Identification (Client ID).

1. Information of unclaimed amount: Upon such search, the following information shall be visible to the investor:
   1. Amount due to the investor on the date of payment (in INR); ii) Category - interest/ dividend/ redemption amount. iii) Date when amount became due (dd/mm/yyyy); iv) Amount (in INR) transferred to Escrow Account (including penal interest, if any, for delay in transfer by the company);

v) Date when unclaimed amount was transferred to Escrow Account (dd/mm/yyyy);

Further, the interest, if any, in the Escrow Account, that accrues to the investor in proportion to his/ her unclaimed amount, may also be disclosed by the company.

1. Maintenance of records: The company shall preserve information pertaining to the unclaimed amounts of investors including relevant documentation. The company shall furnish necessary information, as and when called for by the Board.

1. Update of information: Any change in the information uploaded on the website shall be updated by the company by the seventh day of the succeeding month.

# PROCESS FOR CLAIMING UNCLAIMED AMOUNT

**Amount lying in the escrow account.**

Where the interest / redemption amount has not been claimed within thirty days from the due date of interest/ redemption payment, the company will transfer the amount to an escrow account opened with any scheduled bank.

However, the investor can claim back the amount from the escrow account by following below procedures:

* In case if debentures were held in physical form, the investors shall produce the below mentioned documents in order to process their request for revalidation through electronic mode:

1. Duly signed request letter.

2.Original cancelled cheque leaf for all the registered security holders. The original cancelled cheque leaf bearing the name of the first holder is mandatory, failing which first security holder shall submit the copy of bank passbook / statement attested by the Bank.

3.Self-attested copy of PAN Card of the first security holder (front & back).

In case the signature has changed over the period of time, the investors shall send the ISR- 2 form and the original cancelled cheque leaf along with above mentioned documents.

* In case if debentures were held in Demat form, the current bank details should have to be updated with the depository participant and then the updated client master list should be forwarded along with duly signed request letter.

The relevant Forms ISR-1, ISR-2, ISR-3, SH-13, SH-14 are available on the RTA’s website https://www.linkintime.co.in – Resource – Download- General -Format of KYC. (Annexure B)

The above documents need to be lodged with the Registrar & Transfer Agents at the below mentioned address:

Link Intime India Pvt Limited

Unit:- Manappuram Finance Ltd - Bond

C-101, 247 PARK, L B S Marg

Vikhroli west

Mumbai – 400 083

In case of deceased investors, the legal heir/nominee shall comply with the transmission procedure with the depositary participant and shall submit the following additional documents to process the interest/redemption payment in the name of the legal heir or nominee.

1. Request letter duly signed by registered nominee / legal heir.
2. Updated Client Master List (CML copy ) of registered nominee / legal heir .
3. Client Master List (CML copy ) of deceased holder .
4. Holding cum transaction of the above mentioned demat account.
5. Notarized death certificate of deceased holder.

From the day following the day the interest or redemption amount was sent to the escrow account until the day before the money will be transferred to the IEPF, investors may assert their right to receive their money back from the escrow account.

Upon receipt of a claim application, if the company, upon examination, finds it necessary to call for further information or finds such application or document(s) to be defective or incomplete in any respect, it shall intimate the investor, of such need for information or defects or incompleteness, by e-mail or other written communication. The company shall direct the investor to furnish such information or to rectify such defects or incompleteness or to re-submit such application or document(s) within thirty days from the date of receipt of such communication, failing which the claim may be rejected. However, rejection of claim does not debar an investor from filing a fresh claim.

The company shall within thirty days of receipt of a valid claim application and requisite documents from an investor as called upon from the investor, remit the payment to the investor using electronic modes of funds transfer.

In case of any queries/ grievances the investor can contact the nodal officer whose details are specified as follows:

Mr. MANOJ KUMAR V.R

Company Secretary & Compliance Officer

Email : cs@manappuram.com ,cosecretary@manappuram.com

Phone – +91 487 3050413 / 417

The company shall display the cumulative details of the number of claims received, processed, pending, etc. on its website.

**Amount transferred to IEPF.**

The person whose unclaimed amount is transferred to the IEPF, can make an application by filing Form IEPF-5 with the IEPF authority set up by MCA that shall further process the application. Application can also be made by any legal representative of the deceased person.

IEPF authority may seek necessary clarifications from the concerned company/bank.

If any investor approaches the company for the amount transferred to IEPF, the following procedures are to be followed:

* Form IEPF-5 is required to be filed pursuant to sub-section (3) of section 125 of the Companies Act, 2013 and rule 7(1) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 (Form IEPF-5 is available on <https://www.iepf.gov.in/IEPF/corporates.html>)

* Upon submission, Form No. IEPF-5 shall be transmitted online to the Nodal Officer of the company for verification of claim.

* claimant after making an application in Form No. IEPF-5, shall send original debenture certificate, along with Indemnity Bond, Advance Receipts, any other document as enumerated in Form No. IEPF-5, duly signed by him, to the Nodal Officer of the concerned company at its registered office for verification of the claim.

* The Nodal officer will file a verification report after the verification of claim

# POLICY REVIEW

This policy shall be subject to review as may be deemed necessary by the Board and to comply with any regulatory amendments or statutory modifications and subject to the necessary approvals of the Board of Directors.

# Repeal

Any earlier policy of the company in this subject shall stand repealed from the date of coming into force of this policy

**\*\*\*\*\*\*\*\*\*\***

**Part B**

**Retail NCD & Institutional NCD**

**INTIMATION TO THE INVESTORS**

Company will play a pro-active role in finding the whereabouts of the NCD holders whose matured amount or interests have remained unpaid, thereby reducing the unpaid matured amounts.

## Retail NCDs

Investors may be contacted through E-mail, Short Messaging Service (SMS), phone or through registered post/ordinary post in the last available contact number or last available address for correspondence before and after the automatic settlement of maturity amount through RTA or by the Company directly.

## Institutional NCDs

Investors should be contacted through phone, registered post or e mail, as per the availability, by the HO Employees after the automatic settlement of maturity amount or interest payment.

**PROCESS FOR CLAIMING UNCLAIMED AMOUNT**

## Retail NCDs

If any investor approaches the company for the amount transferred to Debenture trustee account, the following procedures are to be followed:

i. Debenture Certificate, Trustee Form, Address Proof (PAN, Voters ID Card, Passport) Bank Details and a Request Letter to be collected from investor through branch;

ii.Verification of the authenticity of the claim by the Secretarial department of the company;

iii.Issue of account payee cheque by Debenture Trustee or crediting of amount through NEFT by Secretarial department of the company.

## Institutional NCDs

The procedure as specified in the offer document or as instructed by Debenture trustee will be followed in respect of the unclaimed amount.

**POLICY AND PROCESS FOR TRANSFER TO TRUSTEE ACCOUNT AND IEPF ACCOUNT**

## Retail NCDs

Procedures to be followed by the company are:

1. For NEFT updated cases, NCDs will be settled on Maturity date automatically.

1. In case NEFT not updated, maturity proceeds have to be transferred to HO account on the next day of maturity date and NEFT will be initiated after collecting bank details from the customer within 60 days of maturity date.

All unclaimed amount to be transferred to the IEPF Authority as specified in the IEPF Rules shall be transferred within thirty days from the completion of seven years from the maturity date and concerned form shall be filed with ROC.

## Institutional NCDs

The unclaimed amount in respect of NCD Privately Placed - Institutional are to be transferred to Escrow account or to the account be maintained as per the terms of the issue.

All unclaimed amount to be transferred to the IEPF Authority as specified in the IEPF Rules shall be transferred within thirty days from the completion of seven years from the maturity date and concerned form shall be filed with ROC.

**Annexure A.**

**Format of display of unclaimed amount in website**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| ISI  N | Amount  lying unclaime  d (in INR) | Category  (Interest/  Dividend/ Redempti on amount) | No. of investo  rs | Date when amount became due (dd/mm/yyy  y) | Date when unclaimed amount was  transferred to  Escrow  Account  (dd/mm/yyy  y) | Date when amount is to be transferred to IEPF  (dd/mm/yyy  y) |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**Annexure B**

**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

|  |  |  |  |
| --- | --- | --- | --- |
| Bank name and Branch | |  |  |
| Bank Contact details  Postal Address  Phone Number  Email Address | |  |  |
| Bank Account Number | |  |  |
| Account Opening date | |  |  |
| Account holder(s) name(s) | | 1) 2) 3) |  |
| Latest photograph of the account holder(s) | | |  |
| Account holder(s) details as per Bank Records | | |  |
| Address | |  |  |
| Phone Number | |  |  |
| Email Address | |  |  |
| Signature(s) | | |  |
| |  | | --- | |  |     Signature verified as recorded with the bank    Seal of Bank | | | |
| Place |  | | |
| Date |  | | |

# Form ISR - 3

Declaration Form for Opting-out of Nomination by holders of physical securities in Listed Companies

(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)

[Under Section 72 r/w Section 24 (1) (a) of Companies Act, 2013 r/w Section 11(1) and 11B of SEBI Act, 1992 and Clause C in Schedule VII and Regulation 101 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015)]

Name of the Company :

Registered Address of the Company:

I / we ……………………… the holder(s) of the securities particulars of which are given hereunder, do not wish to nominate any person(s) in whom shall vest, all the rights in respect of such securities in the event of my /our death.

PARTICULARS OF THE SECURITIES (in respect of which nomination is being opted out)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Nature of Securities | Folio No. | No. of Securities | Certificate No. | Distinctive No. |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

I/ we understand the issues involved in non-appointment of nominee(s) and further are aware that in case of my / our death, my / our legal heir(s) / representative(s) are required to furnish the requisite documents / details, including, Will or documents issued by the Court like Decree or Succession Certificate or Letter of Administration / Probate of Will or any other document as may be prescribed by the competent authority, for claiming my / our aforesaid securities.

Name(s) and Address of Security holders(s) \* Signature(s)

Sole / First Holder Name

Second Holder Name

Third Holder Name

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Form No. SH-14**  **Cancellation or Variation of Nomination**  ***[Pursuant to sub-section (3) of section 72 of the Companies Act,***  ***2013 and rule 19(9) of*  the Companies (Share Capital and Debentures) Rules 2014*]***  Name of the company:    I/We hereby cancel the nomination(s) made by me/us in favor of……………..(name and address of the nominee) in respect of the below mentioned securities. or  I/We hereby nominate the following person in place of …………………………. as nominee in respect of the below mentioned securities in whom shall vest all rights in respect of such securities in the event of my/our death.     1. PARTICULARS OF THE SECURITIES (in respect of which nomination is being cancelled / varied )      |  |  |  |  |  | | --- | --- | --- | --- | --- | | Nature of securities | Folio No. | No. of securities | Certificate No. | Distinctive No. | |  |  |  |  |  |      1. (a) PARTICULARS OF THE NEW NOMINEE: 2. Name: 3. Date of Birth: 4. Father’s/Mother’s/Spouse’s name: 5. Nationality: 6. Address: 7. E-mail id: |
| vii. Relationship with the Security holder:  (b) IN CASE NEW NOMINEE IS A MINOR--   1. Date of Birth: 2. Date of attaining majority 3. Name of guardian:   iv. Address of guardian:    Signature  Name of the Security  Holder (s)  Witness with name and address |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Form No. SH-13**  **Nomination Form**  ***[Pursuant to section 72 of the Companies Act, 2013 and rule***  ***19(1) of* the Companies (Share Capital and Debentures) Rules 2014*]***  *To*  Name of the company:  Address of the company:  I/We …………………………………….. the holder(s) of the securitiesparticulars of which are given hereunder wish to make nomination and do hereby nominate the following persons in whom shall vest, all the rights in respect of such securities in the event of my/our death.     1. PARTICULARS OF THE SECURITIES (in respect of which nomination is being made)      |  |  |  |  |  | | --- | --- | --- | --- | --- | | Nature of securities | Folio No. | No. of securities | Certificate No. | Distinctive No. | |  |  |  |  |  |      1. PARTICULARS OF NOMINEE/S — (a) Name:    1. Date of Birth:    2. Father’s/Mother’s/Spouse’s name:    3. Occupation:    4. Nationality:    5. Address: |

|  |
| --- |
| 1. E-mail id: 2. Relationship with the security holder:     (3) IN CASE NOMINEE IS A MINOR-- (a) Date of birth:  (b) Date of attaining majority (c) Name of guardian:  (d) Address of guardian:    Name:  Address:  Name of the Security  Holder (s) Signature Witness with name and address |

**Form ISR – 1**

(see SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated November 03, 2021 on Common and Simplified Norms for processing investor’s service request by RTAs and norms for furnishing PAN, KYC

details and Nomination)

## REQUEST FOR REGISTERING PAN, KYC DETAILS OR CHANGES / UPDATION THEREOF

[For Securities (Shares / Debentures / Bonds, etc.) of listed companies held in physical form]

**Date:**\_\_\_ /\_\_\_ /\_\_\_\_\_\_

1. I / We request you to Register / Change / Update the following (Tick  relevant box)

|  |  |
| --- | --- |
| PAN | POSTAL ADDRESS |
| BANK DETAILS | E-MAIL ADDRESS |
| SIGNATURE | MOBILE NUMBER |
| DEMAT ACCOUNT DETAILS |  |

1. **Security Details:**

|  |  |  |
| --- | --- | --- |
| Name of the Issuer Company |  | Folio No.: |
| Name(s) of the Security holder(s) as per the Certificate(s) | 1. 2.  3. | |
| Number & Face value of securities |  | |
| Distinctive number of securities | From To | |

1. **I / We are submitting documents as per Table below** (tick as relevant, refer to the instructions):

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  **Document /**  **Information /**  **Details** | **Instruction / Remark** |
| 1 | PAN of (all) the (joint) holder(s) | | |
|  |  | PAN    Whether it is Valid (linked to Aadhaar):   * Yes * No | \_\_\_\_\_\_\_\_\_\_  PAN shall be valid only if it is linked to Aadhaar by March 31, 2022\*    For Exemptions / Clarifications on PAN, please refer to Objection Memo in page 4 |
| 2 |  | Demat Account Number | \_\_\_\_\_\_\_ 󠄀\_\_\_\_\_\_\_\_\_  Also provide Client Master List (**CML**) of your Demat Account, provided by the Depository Participant. |
| 3 |  | Proof of  Address of the  first holder | Provide any one of the documents, only if there is change in the address;   * Client Master List (**CML**) of your Demat Account, provided by the Depository Participant * Valid Passport/ Ration Card/ Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill. * Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old. * 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. * 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.  The proof of address in the name of the spouse |
| 4 |  | Bank details | Provide the copy of the bank statement with details of bank name, branch, account number and IFS Code or copy of cheque leaf.  Alternatively, Bank details available in the CML will be updated in the folio. |
| 5 |  | E-mail address | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Alternatively the e-mail address available in the CML will be updated in the folio |
| 6 |  | Mobile | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Alternatively the mobile number available in the CML will be updated in the folio |
| 7 |  | Specimen Signature | * Provide banker’s attestation of the signature of the holder(s) as per   [Form](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20ISR-2_p.pdf)[ISR](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20ISR-2_p.pdf)  [–](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20ISR-2_p.pdf)  [2](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20ISR-2_p.pdf)  in [S](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)EBI circular  [SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 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) and   * Original cancelled cheque |
| 8 |  | Nomination\*\* | * Providing Nomination: Please submit the duly filled up Nomination   Form ([SH-13)](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20No.%20SH-13_p.pdf) or ‘Declaration to Opt out of Nomination’ as per [Form](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20ISR-3_p.pdf)  [ISR–3,](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20ISR-3_p.pdf) in [S](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)EBI circular  [SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 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)   * Change in Existing Nomination: Please use [Form SH-14](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20No.%20SH-14_p.pdf) in [SEBI circular SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655](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) * Cancellation of Existing Nomination: Please use [Form SH-14](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20No.%20SH-14_p.pdf) and [Form ISR – 3](https://www.sebi.gov.in/sebi_data/commondocs/nov-2021/Form%20ISR-3_p.pdf) |

\* or any date as may be specified by the CBDT

\*\* Nomination (**Form SH-13 or SH-14**) / ‘Declaration to Opt-Out of nomination’ (**Form ISR – 3**), has to furnished by the holder(s) separately for each listed company.

### Mode of submission of documents to the RTA

Please use any one of the following mode;

1. In Person Verification (**IPV**): by producing the originals to the authorized person of the RTA, who will retain copy(ies) of the document(s)
2. In hard copy: by furnishing self-attested photocopy(ies) of the relevant document, with date
3. Through e-mail address already registered with the RTA, with e-sign of scanned copies of documents
4. Service portal of the RTA with e-sign with scanned copies of documents, if the RTA is providing such facility

### Note

* It is mandatory for holders of physical securities in listed company to furnish PAN, full

KYC details (address proof, bank details, e-mail address, mobile number) and

Nomination (for all the eligible folios).

* Upon receipt or up-dation of bank details, the RTA automatically, pay electronically, all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.

* RTA shall update the folio with PAN, KYC details and Nominee, within seven working days of its receipt. However, cancellation of nomination, shall take effect from the date on which this intimation is received by the company / RTA.

* RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.

**Authorization**: I / We authorise you (RTA) to update the above PAN and KYC details in my / our folio (s) \_\_\_\_\_\_\_\_\_, \_\_\_\_\_\_\_\_, 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 postal address |  |  |  |  |  |
| PIN |  󠄀\_\_\_\_\_\_ |  |  |  |  |

**Request letter**

To,

Link Intime India Pvt Limited

Unit:- Manappuram Finance Ltd - Bond

C-101, 247 PARK, L B S Marg

Vikhroli west

Mumbai – 400 083

Sir/Madam,

I hereby confirm that I have not received the interest/redemption amount due to me as on \_\_\_\_\_\_\_\_\_\_\_\_in respect of the NCD of Manappuram Finance Limited. I am providing the following information and enclosing the scanned copies of the documents required to enable you to do the needful.

Name:

DP ID (if in demat form):

Client ID:

Folio No(if debentures are held in physical form):

PAN:

Mobile No:

Email id: