



**Biocon Limited**  
20th KM, Hosur Road  
Electronic City  
Bangalore 560 100, India  
T 91 80 2808 2808  
F 91 80 2852 3423

CIN : L24234KA1978PLC003417

[www.biocon.com](http://www.biocon.com)

BIO/SECL/AJ/2023-24/25

May 16, 2023

|   |   |
|---|---|
| To<br>The Manager<br><b>BSE Limited</b><br>Department of Corporate Services<br>Phiroze Jeejeebhoy Towers,<br>Dalal Street, Mumbai – 400 001<br><b>Scrip Code - 532523</b> | To<br>The Manager,<br><b>National Stock Exchange of India Limited</b><br>Corporate Communication Department<br>Exchange Plaza, Bandra Kurla Complex<br>Mumbai – 400 050<br><b>Scrip Symbol – Biocon</b> |
|---|---|

**Subject: - Reminder Letter to holders of physical securities for furnishing of PAN, KYC details and Nomination details**

Dear Sir / Madam,

In compliance with the provisions of Regulation 30 of SEBI (Listing Obligations and Disclosure Requirements), Regulations, 2015, please note that the Company has sent reminder letter in accordance with SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 on May 15, 2023 to holders of physical securities, for furnishing of PAN, KYC details and Nomination details. Copy of the reminder letter is enclosed herewith.

The above information will also be available on the website of the Company at [www.biocon.com](http://www.biocon.com).

Kindly take the same on record and acknowledge.

Thanking You,

Yours faithfully,

For **Biocon Limited**

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**Mayank Verma**  
**Company Secretary and Compliance Officer**  
**Membership No.: ACS 18776**

Encl: As above

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www.biocon.com



Date: May 15, 2023



Dear Shareholder,

**Sub: Furnishing of PAN, KYC details and Nomination by holders of physical securities**

**Ref: SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated 16th March, 2023**

**Folio:.....**

As an on-going measure to enhance the ease of doing business for investors in the securities market, the SEBI, vide its Circular dated March 16, 2023 with subject 'Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination' ('**SEBI Circular**'), has mandated the following for shareholders holding shares in physical form:

- Furnishing of PAN, email address, mobile number, bank account details and nomination.
- Compulsory linking of PAN and AADHAR by all shareholders by June 30, 2023 or any other date as may be specified by the Central Board of Direct Taxes.

Kindly note that any service request shall be entertained only upon registration of the PAN, Bank details and the nomination as mentioned above. Non-updation of the KYC details will lead to freezing of your folio and payment including dividend, interest or redemption in respect of frozen folios, shall be through electronic mode with effect from April 01, 2024

We observe from our records that you have not furnished some of the mandatory documents/details required as per above SEBI Circular. We request you to furnish the following duly signed documents/details, as per the table below, to the Registrars & Transfer Agents - M/s KFin Technologies Limited immediately **on or before October 1, 2023**.

| S. No | Particulars   | Availability as per records of RTA | Please furnish details in |
|-------|---|------------------------------------|---------------------------|
| 1     | PAN   | NO                                 | Form No. ISR-1            |
| 2     | Address   | NO                                 |                           |
| 3     | Email address   | NO                                 |                           |
| 4     | Mobile Number   | NO                                 |                           |
| 5     | Demat account details   | NO                                 |                           |
| 6     | Bank account details  | NO                                 |                           |
| 7     | For confirmation of signature by the banker                                   | NO                                 | Form No. ISR-2            |
| 8     | Nomination details  | NO                                 | Form No. SH-13            |
| 9     | *Declaration to opt out nomination if you do not wish to nominate any person. | In case of opting out              | Form No. ISR-3            |

\*In case you are opting out for giving nomination, submit Form ISR-3 only and Form SH-13 need not be submitted.

The aforesaid forms can be downloaded from the website of the Company and RTA at <https://www.biocon.com/investor-relations/shareholder-services/miscellaneous-communication/> and [www.kfintech.com](http://www.kfintech.com), respectively.

**Freezing of Folios without PAN, KYC details and Nomination:**

- a. Folios wherein any of the said document / details are not available or updated **on or after October 01, 2023**, shall be frozen and you will not be eligible to lodge grievance or avail service request from the RTA.
- b. **After December 31, 2025**, the frozen folios shall be referred by RTA/Company to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and or Prevention of Money Laundering Act, 2002.

**In view of the above, you are requested to take the following actions:**

1. Request you to fill and sign the enclosed forms ISR-1, ISR-2, SH-13/ISR-3 and return the same along with required duly signed documents with related proofs and this original cover letter, at the address given below on or before October 01, 2023 .

KFinTechnologies Limited,  
Unit: Biocon Limited  
Selenium Tower B, Plot 31-32, Gachibowli, Financial District, Nanakramguda,  
Hyderabad – 500 032  
Email: [einward.ris@kfintech.com](mailto:einward.ris@kfintech.com)

The original documents can be submitted by the investor in person at RTA's office which shall be verified by the authorised person of the RTA and retaining copy(ies) with IPV stamping with date and initials.

The scan copies of the documents may also be mailed through your registered email id with KFIN Technologies (RTA) at the mail id [einward.ris@kfintech.com](mailto:einward.ris@kfintech.com), duly e-Signed on the forms and all proofs.

E-Sign is an integrated service which facilitates issuing a Digital Signature Certificate and performing signing of requested data by e Sign user. The holder/claimant may approach any of the empanelled e Sign Service provider, details of which are available on the website of Controller of Certifying Authorities (CCA), Ministry of Communications and Information Technology (<https://cca.gov.in/>) for the purpose of obtaining an e-sign.

2. Linking of your PAN with AADHAAR number before June 30, 2023 to avoid freezing of Folio.

Further, SEBI has mandated that transfer of securities held in physical form shall not be processed unless the same are held in dematerialized form with a depository. You are requested to kindly dematerialize your shares.

We would also like to draw your attention that if you have any dispute against the Company or KFin Technologies Limited on delay or default in processing your request, you may file arbitration with the Stock Exchanges. For more details, please see the web links given below-

BSE: <http://tiny.cc/m1l2vz>

NSE: <http://tiny.cc/s1l2vz>

We suggest you retain a copy of this cover letter for your records.

Thanking you,

Yours faithfully,

For **Biocon Limited**

**Sd/-**  
**Mayank Verma**  
**Company Secretary and Compliance Officer**  
**Membership No.: ACS 18776**

Encl : as above

# 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: \_\_\_ / \_\_\_ / \_\_\_\_

**A.** I / We request you to Register / Change / Update the following (Tick ✓ relevant box)

|  |                                       |                                    |
|--|---------------------------------------|------------------------------------|
| <input type="checkbox"/> PAN           | <input type="checkbox"/> Bank details | <input type="checkbox"/> Signature |
| <input type="checkbox"/> Mobile number | <input type="checkbox"/> E-mail ID    | <input type="checkbox"/> Address   |

**B. Security Details:**

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

**C.** 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  | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> , <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
|   |   | Whether it is Valid (linked to Aadhaar):<br><input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  |
|   |   |  | PAN shall be valid only if it is linked to Aadhaar by March 31, 2022*<br>For Exemptions / Clarifications on PAN, please refer to Objection Memo in page 4  |
| 2 |   | Demat Account Number   | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>   |
|   |   |  | Also provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.   |

|   |                                      |   |
|---|--------------------------------------|---|
| 3 | Proof of Address of the first holder | <p>Any one of the documents, only if there is change in the address;</p> <p><input type="checkbox"/> Client Master List (CML) of your Demat Account, provided by DP.</p> <p><input type="checkbox"/> Valid Passport/ Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill.</p> <p><input type="checkbox"/> Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.</p> <p><input type="checkbox"/> 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.</p> <p><input type="checkbox"/> 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.</p> <p><input type="checkbox"/> The proof of address in the name of the spouse</p> |
| 4 | Bank details                         | <p>Account Number: _____</p> <p>Bank Name: _____</p> <p>Branch Name: _____</p> <p>IFS Code: _____</p> <p style="text-align: center;">Provide the following:</p> <p><input type="checkbox"/> <u>original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement attested by the Bank</u> #</p>   |
| 5 | E-mail address                       | _____ #   |
| 6 | Mobile                               | _____ #   |

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

(DP: Depository Participant)

# In case it is not provided, the details available in the CML will be updated in the folio

**Authorization:** I / We authorise you (RTA) to update the above PAN and KYC details in my / our folio (s) \_\_\_\_\_, \_\_\_\_\_, (use Separate Annexure if extra space is required) 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 address | ✓   |   |   |
| PIN          | ✓ <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

## 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

|   |   |
|---|---|
| <ul style="list-style-type: none"><li>• 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).</li></ul>                        |   |
| <ul style="list-style-type: none"><li>• Upon receipt or up-dation of bank details, the RTA will automatically, pay electronically, all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.</li></ul>  |   |
| <ul style="list-style-type: none"><li>• 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.</li></ul> |   |
| <ul style="list-style-type: none"><li>• RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.</li></ul>   |   |
| <ul style="list-style-type: none"><li>• Specimen Signature</li></ul>  | <ul style="list-style-type: none"><li>• Provide banker's attestation of the signature of the holder(s) as per <a href="#">Form ISR – 2</a> in <a href="#">SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655 dated November 03, 2021</a>) and</li><li>• <u>original cancelled cheque</u> with name of security holder printed on it <i>or</i> <u>Bank Passbook</u> <i>or</i> <u>Bank Statement</u> attested by the Bank</li></ul>   |
| <ul style="list-style-type: none"><li>• Nomination**</li></ul>  | <ul style="list-style-type: none"><li>• Providing Nomination: Please submit the duly filled up Nomination Form (<a href="#">SH-13</a>) <i>or</i> 'Declaration to Opt out of Nomination' as per <a href="#">Form ISR-3</a>, in <a href="#">SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/ CIR/2021/655 dated November 03, 2021</a></li><li>• Change in Existing Nomination: Please use <a href="#">Form SH-14</a> in <a href="#">SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655</a></li><li>• Cancellation of Existing Nomination: use <a href="#">Form SH-14</a> &amp; <a href="#">Form ISR – 3</a></li></ul> |

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

*(Page 3 & 4 is for information to investors; print out of the same is not required)*

## Objection Memo that can be raised by the RTA

(only if the relevant document / details is / are not available in the folio or if there is a mismatch / discrepancy in the same or change thereof)

### Note

RTAs shall raise all objections, if any / at all, in one instance only; the RTA shall not raise further objections on the same issue again and again, after the holder / claimant furnishes all the prescribed documents and details, unless there is any deficiency / discrepancy in the same.

| No. | Item  | Documents / Details to be provided to the RTA by the holder(s) / claimant(s)  |
|-----|---|---|
| 1   | PAN – Exceptions and Clarification  | ‘Exemptions/clarifications to PAN’, as provided in clause D to ‘Instructions/Check List for Filing KYC Forms’ in Annexure – 1 to <a href="#">SEBI circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011</a> on Uniform Know Your Client (KYC) Requirements for the Securities Market, shall also applicable for holder(s) / claimant(s) of securities held in physical mode.   |
| 2   | Minor mismatch in Signature - minor   | The RTA shall intimate the holder at the existing address, seeking objection, if any, within 15 days  |
| 3   | Major mismatch in Signature or its non-availability with the RTA                      | <ul style="list-style-type: none"> <li>• Banker’s attestation of the signature of the holder(s) as per <a href="#">Form ISR – 2</a></li> <li>• <u>Original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement attested by the Bank</u></li> </ul>   |
| 4   | Mismatch in Name  | Furnish any one of the following documents, explaining the difference in names; <ul style="list-style-type: none"> <li>• Unique Identification Number (UID) (Aadhaar)</li> <li>• Valid Passport</li> <li>• Driving license</li> <li>• PAN card with photograph</li> <li>• Identity card / document with applicant’s Photo, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions</li> <li>• Marriage certificate</li> <li>• Divorce decree</li> </ul> |
| 5   | Present address of the holder is not matching with the address available in the folio | RTA shall issue intimation to both the old and new addresses. <ul style="list-style-type: none"> <li>• In case where the letter is undelivered at the old address, RTA shall not insist for any proof of the old address provided the current address proof is in the form of an address proof issued by a Government Authority.</li> </ul> The above procedure will be applicable for request for change in address of the holder also   |

*(Page 3 & 4 is for information to investors; print out of the same is not required)*

# FormISR- 2

(see 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)

## Confirmation of Signature of securities holder by the Banker

|   |  |  |
|---|--|--|
| 1. Bank Name and Branch   |  |  |
| 2. Bank contact details Postal Address Phone number E-mail address  |  |  |
| 3. Bank Account number  |  |  |
| 4. Account opening date   |  |  |
| 5. Account holder(s) name(s)  | 1)<br>2)<br>3)   |  |
| 6. Latest photograph of the account holder(s)   |  |  |
| <div style="display: flex; justify-content: space-around; align-items: center;"><div style="border: 1px solid black; padding: 5px; text-align: center;">1<sup>st</sup> Holder</div><div style="border: 1px solid black; padding: 5px; text-align: center;">2<sup>nd</sup> Holder</div><div style="border: 1px solid black; padding: 5px; text-align: center;">3<sup>rd</sup> Holder</div></div> |  |  |
| 7. Account holder(s) details as per Bank Records  |  |  |
| a) Address  |  |  |
| b) Phone number   |  |  |
| c) Email address  |  |  |
| d) Signature(s)   |  |  |
| 1) <div style="border: 1px solid black; width: 150px; height: 40px; display: inline-block;"></div>  | 2) <div style="border: 1px solid black; width: 150px; height: 40px; display: inline-block;"></div> | 3) <div style="border: 1px solid black; width: 150px; height: 40px; display: inline-block;"></div> |
| Seal of the Bank  | Signature verified as recorded with the Bank   |  |
|   | (Signature)  |  |
| Place:  | Name of the Bank Manager   |  |
|   | Employee Code  |  |
| Date:   | E-mail address   |  |



# 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\_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)

[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 here under, **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

| Name and Address of Witness | Signature |
|-----------------------------|-----------|
|                             |           |

# 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 securities, particulars 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. |
|----------------------|-----------|-------------------|-----------------|-----------------|
|                      |           |                   |                 |                 |

**(2) PARTICULARS OF NOMINEE/S —**

- (a) Name:
- (b) Date of Birth:
- (c) Father's/Mother's/Spouse's name:
- (d) Occupation:
- (e) Nationality:
- (f) Address:
- (g) E-mail ID:
- (h) 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(s) and Address of Security holders(s)

Signature(s)

Sole /First Holder Name

Second Holder Name

Third Holder Name

| Name and Address of Witness | Signature |
|-----------------------------|-----------|
|                             |           |