

**SECRETARIAL DEPARTMENT**

February 23, 2022  
HO/SEC/237/2021-2022

The Manager  
Listing Department  
National Stock Exchange of India Limited  
Exchange Plaza,C-1, Block G  
Bandra-Kurla Complex, Bandra (E)  
MUMBAI-400 051  
**Scrip Code: KTKBANK**

The General Manager,  
BSE Limited  
Corporate Relationship Dept  
Phiroze Jeejeebhoy Towers  
Dalal Street,  
MUMBAI-400 001  
**Scrip Code: 532652**

Dear Sir/Madam,

Sub: Intimation to Bank's Shareholders holding shares in Physical Mode.  
Ref: Regulations 30(6) of SEBI (Listing Obligations and Disclosure Requirements) Regulation, 2015.

We enclose herewith a copy of intimation disseminated to the shareholders holding shares in physical mode in compliance with the SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated November 03, 2021 about introduction of ISR Forms by SEBI and updation of KYC and other details such as nomination etc.

Further, the aforesaid intimation also makes a mention about SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022 about issuance of securities in dematerialized form while processing various service requests.

The intimation is also being uploaded on the Bank's website [www.karnatakabank.com](http://www.karnatakabank.com).

For kind information of all stakeholders.

Thank You,  
Yours faithfully,

  
Prasanna Patil  
**COMPANY SECRETARY**



# **The Karnataka Bank Limited**

Regd. & Head Office: Mahaveera Circle, Kankanady, Mangaluru-575002  
CIN: L85110KA1924PLC001128, email: [investor.grievance@ktkbank.com](mailto:investor.grievance@ktkbank.com)  
[Website: [www.karnatakabank.com](http://www.karnatakabank.com), Tel. no. 0824-2228222]

Ref: KBL/KYC UPDATION

Date: 21-02-2022

NAME\_1:  
ADDRESS:

Jt1:

Jt2:

Dear Shareholder,

Folio No:  
No. of Shares:

### **Kind Attention: Shareholders**

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

Pursuant to Securities and Exchange Board of India (SEBI) Circular dated 3<sup>rd</sup> November 2021, we wish to bring to your attention the following:

- SEBI has made it mandatory to furnish PAN, email address, mobile number, bank account details and nomination by holders of physical securities.
- **Folios wherein any one of the aforesaid document/ details are not available on or after 01<sup>st</sup> April 2023, shall be frozen.**
- The shareholders shall be eligible to lodge grievance or avail service request from the RTA only after furnishing the complete documents / details as aforesaid and shall be eligible for receipt of dividend only in electronic mode.
- After 31<sup>st</sup> December 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.
- Shareholders holding shares in physical mode are requested to ensure that their **PAN is linked to Aadhaar by 31<sup>st</sup> March 2022** or any other date as may be specified by the Central Board of Direct Taxes to avoid freezing of folio.

In view of the above, members holding shares in physical form are requested to furnish valid PAN, KYC details and Nomination immediately to the Company/RTA in the required attached forms (as detailed below), **to ensure that, their folios are not frozen on or after 01<sup>st</sup> April 2023.**

Sl. No.	Purpose	Form No.
1.	Request to register PAN, KYC details or changes/ updation thereof	Form ISR-1
2.	Specimen Signature	Form ISR-2
3.	Registration of Nomination	Form SH-13
4.	Declaration Form for Opting-out of Nomination – Download from <a href="https://www.integratedindia.in/Corporate_Container.aspx?RTI/STA">https://www.integratedindia.in/Corporate_Container.aspx?RTI/STA</a>	Form ISR -3
5.	Cancellation or Variation of Nomination – Download from <a href="https://www.integratedindia.in/Corporate_Container.aspx?RTI/STA">https://www.integratedindia.in/Corporate_Container.aspx?RTI/STA</a>	Form SH-14

Kindly send documents to Registrar & Share Transfer Agents address given below:

**Integrated Registry Management Services Private Limited**

**Unit: Karnataka Bank Limited**

**No.30, Ramana Residency, 4<sup>th</sup> Cross, Sampige Road**

**Malleswaram, Bengaluru – 560003**

**Phone Number: 080-23460815 to 818**

Further, in terms of SEBI vide its circular no. **SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated 25.01.2022**, issuance of securities in dematerialized form has been made mandatory while processing service requests such as issue of duplicate securities certificate, claim from Unclaimed Suspense Account, Renewal/Exchange of securities certificate, endorsement, sub-division/splitting of securities certificate, consolidation of securities certificates/folios, transmission and transposition. Accordingly, any aforesaid service requests will require submitting a request by the shareholder/claimant etc., in Form **ISR-4** along with the demat account details and other supporting particulars, if any, failing which such requests are liable for rejection.

All shareholders, who have not yet dematerialized their shares, are also advised to get their shares converted into demat/ electronic form to get inherent benefits of dematerialisation, as transfer of physical shares except for transmission and transposition cases has been stopped w.e.f 01<sup>st</sup> April 2019 as per SEBI Regulations and settlement of market trades are taking place only in demat mode.

Members holding shares in electronic (DEMAT) form are requested to verify and update immediately any change in their address or bank mandates etc. to their respective Depository Participants with whom they are maintaining their demat accounts.

Thanking you  
Yours faithfully  
For **Karnataka Bank Limited**

Sd/-

**Prasanna Patil**  
**Company Secretary**

Encl: as above

### 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 <u>Form ISR – 2</u> in <u>SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655</u> dated November 03, 2021) and</li><li>• <u>original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <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 (SH-13) or 'Declaration to Opt out of Nomination' as per <u>Form ISR-3</u>, in <u>SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/ CIR/2021/655</u> dated <u>November 03, 2021</u></li><li>• Change in Existing Nomination: Please use <u>Form SH-14</u> in <u>SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655</u></li><li>• Cancellation of Existing Nomination: use <u>Form SH-14</u> &amp; <u>Form ISR – 3</u></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>• <a href="#">Original cancelled cheque</a> with name of security holder printed on it or <a href="#">Bank Passbook</a> or <a href="#">Bank Statement attested by the Bank</a></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)*

# 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. 2. 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):

<input checked="" type="checkbox"/>	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"/> <input type="checkbox"/>
	Whether it is Valid (linked to Aadhaar): <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* 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"/> <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 or 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	✓ □□□□□□	□□□□□□	□□□□□□

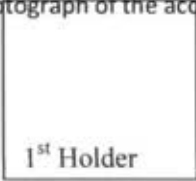
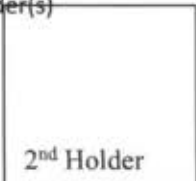

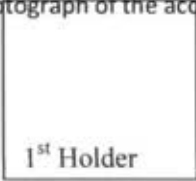
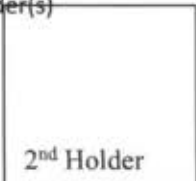

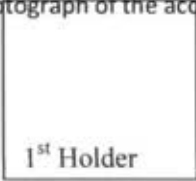
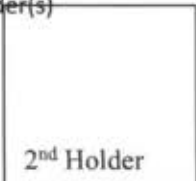




## Form ISR – 2

(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)

**Folio Number:**

**Name of the Company:**

### 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) 2) 3)			
6. Latest photograph of the account holder(s)	<table border="1"><tr><td> 1<sup>st</sup> Holder</td><td> 2<sup>nd</sup> Holder</td><td> 3<sup>rd</sup> Holder</td></tr></table>	 1 <sup>st</sup> Holder	 2 <sup>nd</sup> Holder	 3 <sup>rd</sup> Holder
 1 <sup>st</sup> Holder	 2 <sup>nd</sup> Holder	 3 <sup>rd</sup> Holder		
7. Account holder(s) details as per Bank Records				
a) Address				
b) Phone number				
c) Email address				
d) Signature(s)	1)  2)  3) 			
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 No.SH-13**  
**Nomination Form**  
 [Pursuant to section 72 & rule 4.17(1)& (3)]

To

Name of the Company:  
 Address of the Company:

I/We

.....  
 the holder(s) holders(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 Number	No. of Securities	Certificate Number	Distinctive Number
EQUITY				

**(2) PARTICULARS OF NOMINEE/S –**

- (a) Name: \_\_\_\_\_  
 (b) Father's/Mother's/Spouse's name: \_\_\_\_\_  
 (c) Date of Birth: \_\_\_\_\_ (d) Occupation: \_\_\_\_\_ (e) Nationality \_\_\_\_\_  
 (f) Address : \_\_\_\_\_  
 (g) E-mail id: \_\_\_\_\_  
 (h) Relationship with the security holder: \_\_\_\_\_  
 (i) Signature of Nominee: \_\_\_\_\_

**(3) IN CASE NOMINEE IS A MINOR –**

- (a) Date of birth : \_\_\_\_\_ (b) Date of attaining majority \_\_\_\_\_  
 (b) Name of guardian: \_\_\_\_\_  
 (c) Address of guardian: \_\_\_\_\_

Name of the Security Holder(s)	Signature of the Security Holder(s)

Address of the Security Holder (s): \_\_\_\_\_  
 \_\_\_\_\_

Signature of Witness: \_\_\_\_\_

Name and Address of Witness: \_\_\_\_\_  
 \_\_\_\_\_

**Please fill this Nomination Form after carefully reading the instruction given below:**

1. The Nomination can be made by individual's only holdings shares singly or jointly. Non individuals including Society, Trust, Body Corporate, Partnership firm, Karta of Hindu Undivided Family and Power of Attorney holder cannot nominate.
2. The nominee shall not be a Trust, Society, Body Corporate, Partnership firm, Karta of Hindu Undivided Family and power of attorney holder.
3. The shareholder [s] can nominate a minor as a nominee and in that event the name and address of the guardian shall be provided.
4. As per section 72 of Companies Act 2013, if the shares are held by more than one person jointly, then the joint holders may together nominate a person to whom all the rights in the shares of the Company shall vest, in the event of death of all the joint holders.
5. If the shares are held jointly, subsequent to the death of anyone of the holders, the shares would not be registered in favour of the nominee but would be transferred in the name of the surviving shareholders.
6. The nomination form filled in should be lodged along with the self attested Pan Card and Address proof copy of Shareholder and Nominee to the Registrar and Share transfer Agent of the Company i.e. M/s. Integrated Registry Management Services Private Limited, No. 30, Ramana Residency, 4<sup>th</sup> Cross, Sampige Road, Malleswaram, Bengaluru - 560003. The Registrar will send the Confirmation Letter to the shareholder after registering the nomination. The registration number allotted will be furnished in the said form.
7. The shareholder[s] can delete or change an earlier nomination by executing Form No. SH-14 (Cancellation or Variation of Nomination form)
8. Nomination stands cancelled whenever the shares in the given folio are transferred/ dematerialized. Also in case of change in folio due to consolidation/ transmission a new nomination has to be filed.
9. The nomination made through Form No. SH-13 will be considered valid if the nomination made by the holder[s] of the shares is registered with the company before the death of the registered holder[s] of the shares.
10. Kindly note that the nomination being a legal document should be dated by the nominator and the witness should certify that the nominator has signed the form in their presence. Furthermore the date of execution on the Nomination Form should match with the date of witness, witnessing the document.
11. Affixing photograph of the Nominee is not mandatory and if affixed the nominee should sign across the photograph.

**FOR OFFICE USE ONLY**

<b>Nomination Registration Number</b>	<b>Date of Registration</b>	<b>Signature of Employee with Employee ID Number</b>

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