



MCSL/SEC/23-24/26

April 18, 2023

BSE Limited

Phiroze Jeejeebhoy Towers

Dalal Street,

Mumbai - 400 001

Scrip Code (Equity) - 511766

**Scrip Code (Debenture): 959633, 974648,
974292, 974550, 974551, 724596 and 974552**

**National Stock Exchange of India
Limited**

Exchange Plaza, C-1, Block G,

Bandra Kurla Complex,

Bandra (E), Mumbai - 400 051

Trading Symbol - MUTHOOTCAP

Dear Sir/Madam,

Sub: Intimation under Regulation 30 and 51 of SEBI (LODR) Regulations, 2015 w.r.t. communication made to security holders on Updation of PAN, KYC, Nomination, Bank Details etc.

Reference is drawn to the SEBI Circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 3, 2021, SEBI Circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/687 dated December 14, 2021 and SEBI/HO/MIRSD/MIRSD-POD-1/P/CIR/2023/37 dated March 16, 2023, which mandated investors holding securities of listed companies in physical mode to furnish details as given below:

1. Valid PAN including that of joint shareholders duly linked with Aadhaar
2. Nomination (If shares are held in single name)
3. Postal Address with Pin code, Email id and Mobile Number
4. Bank Account details (Bank Name, Branch, Bank Account No, IFSC Code and MICR code)
5. Specimen Signature

Further, it stated that any service requests or complaints received from the shareholder(s) / claimant(s) will not be processed by Registrars and Share Transfer Agent till PAN, KYC and Nomination documents/details are received in compliance with the SEBI circular.

The investors holding listed securities in physical mode are required to furnish all the above-mentioned details, failing which all such physical folios shall stand frozen with effect from October 1, 2023. To state further, where valid PAN (linked with Aadhaar) is not registered, such Folios shall stand frozen with effect from October 1, 2023.



The securities pertaining to investors which are in the frozen folios shall be eligible for dividend amount only through electronic mode upon complying with the above-mentioned requirements as prescribed vide the SEBI circulars.

The securities held in physical form which stand frozen till December 31, 2025, shall be referred by RTA / the Company to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and / or Prevention of Money Laundering Act, 2002.

In terms of the aforesaid SEBI Circulars, reminders have been made dispatched on 18th April 2023 through Registered Post to the security holders holding securities in physical mode informing them about the contents of the Circular along with request to dematerialize the securities with Depository Participant within the timelimits as prescribed by SEBI.

A copy of the reminder letter is enclosed herewith for your reference. We request you to kindly take the same on record.

Thanking you,

Yours Faithfully,

For Muthoot Capital Services Limited

Deepa G
Company Secretary & Compliance Officer
Membership Number : A68790

Encl: as above

**MUTHOOT CAPITAL SERVICES LIMITED**

(CIN: L67120KL1994PLC007726)

Regd. Office: 3rd Floor, Muthoot Towers, M.G. Road, Kochi - 682 035

Tel: +91 - 484-6619689 / 6619600

Web: www.muthootcap.com, Email: mail@muthootcap.com

REGISTERED POST**REMINDER**

Date :

Env. No.: MCS/KYC/

Name of the Shareholder**Address of the Shareholder**

RT955636184IN

RT955636184IN

Ref: Mandatory furnishing of PAN, KYC and Nomination by holders of Physical Securities

Dear Shareholder,

Folio No:

We refer to our earlier letter dated 18-01-2022 on the above mentioned subject.

As you may be aware, SEBI vide its Circular **SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 3, 2021 read with SEBI Circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/687 dated December 14, 2021, SEBI/HO/MIRSD/MIRSD-POD-1/P/CIR/2023/37 dated March 16, 2023** had mandated investors holding securities in physical mode of listed companies to furnish below details:

1. Valid PAN including that of joint shareholders duly linked with Aadhaar
2. Nomination (If shares are held in single name)
3. Postal Address with Pin code, Email id and Mobile Number
4. Bank Account details (Bank Name, Branch, Bank Account No, IFSC Code and MICR code)
5. Specimen Signature

As informed earlier vide our letter dated January 18, 2022, any service requests or complaints received from the shareholder(s) / claimant(s) will not be processed by our Registrars and Share Transfer Agent till PAN, KYC and Nomination documents/details are received in compliance with the SEBI circular.

It may be noted that:-

- **The investors holding listed securities in physical mode are required to furnish all the above-mentioned details immediately, failing which all such physical folios shall stand frozen with effect from October 1, 2023.**
- **Where valid PAN (linked with Aadhaar) is not registered, such Folios shall stand frozen with effect from October 1, 2023.**

The securities pertaining to investors which are in the frozen folios shall be eligible for dividend amount only through electronic mode upon complying with the above-mentioned requirements as prescribed vide SEBI circulars mentioned in the foregoing paragraph.

We observe from our records that you are holding shares in physical form. In order to keep your portfolio in active status as prescribed under the SEBI Circular, you are requested to send us duly completed forms *immediately* enclosing self-attested proofs as mentioned below along with the respective forms, with date of attestation.

S No.	Particulars	Status as per RTA / Company records	Furnish details in
1	PAN	Please provide PAN	Form No. ISR-1(Form Attached)
2	Address	Please provide Pincode	
3	Email address	Please provide Email	
4	Mobile Number	Please Provide Mobile Number	
5	Bank account details	Please provide Core Banking A/C details	
6	Nomination details	Please Provide Nomination details	Form No. SH13 (Form Attached)
7	Specimen Signature	Specimen Signature Registered	Form No. ISR-2(Form Attached)

The securities held in physical form which stand frozen till **December 31, 2025, shall be referred by RTA / the Company to the administering authority under the Benami Transactions (Prohibitions) Act, 1988 and / or Prevention of Money Laundering Act, 2002.**

We request you to dematerialize your shares with your Depository Participant at the earliest as prescribed by SEBI.

Thanking you,

Yours truly,

for **MUTHOOT CAPITAL SERVICES LIMITED****Sd/-****Deepa G****Company Secretary & Compliance Officer****Encl:** Form ISR-1, Form ISR-2 and SH-13

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):

	✓	Document / Information / Details	Instruction / Remark
1		PAN of (all) the (joint) holder(s)	
		PAN Whether it is Valid (linked to Aadhaar): <input type="checkbox"/> Yes <input type="checkbox"/> 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	<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. 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 style="text-align: center;"><u>original cancelled cheque</u> with name of security holder printed on it <i>or</i> <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	✓		

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">• 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).	
<ul style="list-style-type: none">• 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.	
<ul style="list-style-type: none">• 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.	
<ul style="list-style-type: none">• RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.	
<ul style="list-style-type: none">• Specimen Signature	<ul style="list-style-type: none">• Provide banker's attestation of the signature of the holder(s) as per Form ISR – 2 in SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655 dated November 03, 2021) and• <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
<ul style="list-style-type: none">• Nomination**	<ul style="list-style-type: none">• Providing Nomination: Please submit the duly filled up Nomination Form (SH-13) <i>or</i> 'Declaration to Opt out of Nomination' as per Form ISR-3, in SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/ CIR/2021/655 dated November 03, 2021• Change in Existing Nomination: Please use Form SH-14 in SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655• Cancellation of Existing Nomination: use Form SH-14 & Form ISR – 3

** 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 SEBI circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011 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"> • Banker’s attestation of the signature of the holder(s) as per Form ISR – 2 • <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>
4	Mismatch in Name	<p>Furnish any one of the following documents, explaining the difference in names;</p> <ul style="list-style-type: none"> • Unique Identification Number (UID) (Aadhaar) • Valid Passport • Driving license • PAN card with photograph • 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 • Marriage certificate • Divorce decree
5	Present address of the holder is not matching with the address available in the folio	<p>RTA shall issue intimation to both the old and new addresses.</p> <ul style="list-style-type: none"> • 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. <p>The above procedure will be applicable for request for change in address of the holder also</p>

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

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)

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)		
<div style="display: flex; justify-content: space-around; align-items: center;"><div style="border: 1px solid black; padding: 10px; text-align: center;">1st Holder</div><div style="border: 1px solid black; padding: 10px; text-align: center;">2nd Holder</div><div style="border: 1px solid black; padding: 10px; text-align: center;">3rd 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 No. SH – 13
Nomination Form

[Pursuant to Section 72 of the Companies Act 2013 and rule 19(1) of the Companies Act
(Share Capital and Debentures) Rules 2014]

To

Name of the Company:

Address of the Company:

I / We _____ 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 Nos.

(2) PARTICULARS OF NOMINEE

- (a) Name
- (b) Date of Birth
- (c) Father's / Mother's / Spouse Name
- (d) Occupation
- (e) Nationality
- (f) Address

(g) Email 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

(4) PARTICULARS OF NOMINEE IN CASE MINOR NOMINEE DIES BEFORE ATTAINING AGE OF MAJORITY

(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 security holder

(i) Relationship with minor nominee

Name

Address

Name of the Security Holder(s)

Signature of the Security Holder (s)

Witness with name and address

Signature of the Witness

Instructions:

- 1) Nomination can be made by individuals only, holding share on their own behalf
- 2) Transfer of shares in favour of a Nominee shall be valid discharge by the Company against the legal heir.
- 3) Nomination stand rescinded upon transfer of shares.
- 4) Nomination forms shall be submitted in duplicate. Duplicate copy of the same will be returned to you for your records after nomination is registered by the Company.