

**Ref. No.: RCIIND/BSE/2021-22/Reg30**

**Date: January 06, 2022**

To  
The Manager  
Listing Department  
**The BSE Limited,**  
Phiroze Jee Jee Bhoy Towers,  
Dalal Street, Mumbai – 400001

**BSE SECURITY CODE: 537254**

**Sub: Intimation to Shareholders holding Shares in Physical Mode.**

**Ref: Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (as amended) (the "SEBI Listing Regulations")**

Dear Sir/Ma'am,

Please take note that pursuant to the SEBI Circular No. SEBI/HO/MIRSD/ MIRSD\_RTAMB/P/CIR/ 2021/655 dated 3rd November, 2021 read together with SEBI Circular No SEBI/ HO/MIRSD/MIRSD0\_RTAMB/P/CIR/2021/687 dated December 14, 2021 (the "SEBI Circulars"), the Company has sent intimation alongwith the requisite forms as stipulated in the said SEBI Circulars to the shareholders holding shares in physical form requesting them to update/submit the details in the requisite forms within the stipulated timeline mentioned in the SEBI Circulars for updating the PAN, KYC details and Nomination details (including declaration to opt out) to the Registrar and Share Transfer Agent of the Company i.e. Bigshare Services Private Limited.

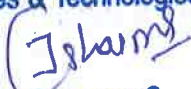
The requisite Forms are also available on the website of the Company i.e. www.rciind.com under investor relation.

The copy of intimation sent to shareholders is attached for reference and records.

Thanking you,  
Yours faithfully,

For **RCI INDUSTRIES AND TECHNOLOGIES LIMITED**

For RCI Industries & Technologies Ltd.



**JYOTI SHARMA**  
Company Secretary  
Company Secretary & Compliance Officer  
M. No.: A55135

**Encl: as above**

**SPEED POST**

Folio No.:

Date:

Name of the Holder: \_\_\_\_\_

Address:

Dear Shareholder(s),

**Sub: MANDATORY FURNISHING/UPDATING OF PAN, FULL KYC DETAILS (ADDRESS PROOF, BANK DETAILS, EMAIL ADDRESS, MOBILE NUMBER) AND NOMINATION**

**Ref: SEBI Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 Dated November 3, 2021 read together with SEBI Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/687 dated December 14, 2021 (the "SEBI Circulars")**

With reference to SEBI Circulars wherein it has been decided to mandatorily update the PAN, KYC, Nomination details, Bank details, Contact details and Specimen Signature of all shareholders holding shares in physical form and compulsory linking of PAN with Aadhaar number by all shareholders.

In the said circulars, SEBI has also stipulated that if the shareholders holding shares in physical mode do not update the PAN, KYC and Nomination details or these details are not made available to the Company's Registrar and Share Transfer Agents (RTA) by 31st March, 2023, then such folios shall be frozen by RTA on or after 1st April, 2023 as per the directive issued by SEBI.

Freezing of Folios without PAN, KYC details and Nomination:

- Folios wherein any one of the said document / details are not available on or after April 01, 2023, shall be frozen by the RTA and you will not be eligible to lodge grievance or avail service request from the RTA and not eligible for receipt of dividend in physical mode.
- 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.
- Shareholders holding shares in physical mode are requested to ensure that their PAN is linked to Aadhaar by 31st 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, Shareholders 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 01st April 2023.

S. No.	Purpose	Form No.
1.	Request for registering PAN, KYC details or changes/ updation thereof	Form ISR-1
2.	Confirmation of Signature of securities holder by the Banker	Form ISR-2
3.	Registration of Nomination (Nomination Form)	Form SH-13
4.	Declaration Form for Opting-out of Nomination	Form ISR -3
5.	Cancellation or Variation of Nomination	Form SH-14

Shareholders 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.

The aforesaid forms can be downloaded from the website of the Company: [www.rciind.com](http://www.rciind.com) and may also download from the website of the RTA at [www.bigshareonline.com](http://www.bigshareonline.com).

You are requested to kindly update your Email Id and Mobile No. to our RTA for records as well as for receiving communications by electronic means.

If you have already updated all the information stated above with Company/RTA, kindly ignore this letter.

Please note the following contact details of our RTA to enable you to submit your PAN/KYC/Nomination/Bank details and to seek any clarification etc.:

Registrar & Share Transfer Agent:  
Bigshare Service Private Limited  
Unit: RCI Industries and Technologies Limited  
E-2/3, Ansa Industrial Estate, Sakivihar Road, Saki Naka,  
Andheri (E), Mumbai-400072, India  
Email: [info@bigshareonline.com](mailto:info@bigshareonline.com)

The scan copies of the documents may also be mailed through your registered email id with Bigshare Services Private Limited (RTA) at the mail id [info@bigshareonline.com](mailto:info@bigshareonline.com) duly e-Signed on the forms and all proofs.

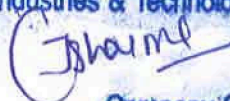
E-Sign is an integrated service which facilitates issuing a Digital Signature Certificate and performing signing of requested data by eSign user. The holder/claimant may approach any of the empanelled eSign Service provider, details of which are available on the website of Controller of Certifying Authorities

(CCA), Ministry of Communications and Information Technology (<https://cca.gov.in/>) for the purpose of obtaining an e-sign.

Thanking you,  
Yours faithfully,

For **RCI INDUSTRIES AND TECHNOLOGIES LIMITED**

For RCI Industries & Technologies Ltd.



Company Secretary

**JYOTI SHARMA**

**Company Secretary & Compliance Officer**

**M. No.: A55135**

Encl.:

- 1) Form ISR - 1
- 2) Form ISR - 2
- 3) Form ISR - 3
- 4) Form SH - 13
- 5) Form SH - 14

# 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"/> Postal Address
<input type="checkbox"/> Bank details	<input type="checkbox"/> E-mail address
<input type="checkbox"/> Signature	<input type="checkbox"/> Mobile number
Demat Account details	

### 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	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 ( <b>CML</b> ) of your Demat Account, provided by the Depository Participant.
3	Proof of Address of the first holder	<p>Provide any one of the documents, only if there is change in the address;</p> <ul style="list-style-type: none"> <li>• Client Master List (<b>CML</b>) of your Demat Account, provided by the Depository Participant</li> <li>• Valid Passport / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill.</li> <li>• Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.</li> <li>• 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.</li> <li>• 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.</li> <li>• The proof of address in the name of the spouse</li> </ul>
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	<p>_____</p> <p>Alternatively the e-mail address available in the CML will be updated in the folio</p>
6	Mobile	<p>_____</p> <p>Alternatively the mobile number available in the CML will be updated in the folio</p>
7	Specimen Signature	<ul style="list-style-type: none"> <li>• Provide banker's attestation of the signature of the holder(s) as per <b>Form ISR – 2</b> in <b>SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021</b>) and</li> <li>• Original cancelled cheque</li> </ul>
8	Nomination**	<ul style="list-style-type: none"> <li>• Providing Nomination: Please submit the duly filled up Nomination Form (<b>SH-13</b>) or 'Declaration to Opt out of Nomination' as per <b>Form ISR – 3</b>, in <b>SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021</b></li> <li>• Change in Existing Nomination: Please use <b>Form SH-14</b> in <b>SEBI circular SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021</b></li> <li>• Cancellation of Existing Nomination: Please use <b>Form SH-14</b> and <b>Form ISR – 3</b></li> </ul>

\* 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 be 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	✓		

## 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 on Uniform Know Your Client (KYC) Requirements for the Securities Market</a> , 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>Original cancelled cheque</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. If the letters sent to either the old and or new addresses is / are undelivered or if there is an objection in response to this letter, then provide any one of the following; <ul style="list-style-type: none"> <li>any one of the documents in row 3 in <b>Table C</b>, reflecting the old address or</li> <li>Counterfoil of dividend warrant received from the company or</li> <li>Bank statement showing the credit of previous dividend received</li> </ul> The above procedure will be applicable for request for change in address of the holder also

(This Page is only 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;">1<sup>st</sup> Holder</div> <div style="border: 1px solid black; padding: 10px; text-align: center;">2<sup>nd</sup> Holder</div> <div style="border: 1px solid black; padding: 10px; 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)	2)	3)	
Signature verified as recorded with the Bank			
Seal of 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 (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 THE 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:**

**Address:**

**Signature of Witness with  
Name and Address**

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

# **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 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)

<b>Nature of Securities</b>	<b>Folio No.</b>	<b>No. of Securities</b>	<b>Certificate No.</b>	<b>Distinctive No.</b>

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)  
Sole / First Holder Name

Signature(s)

Second Holder Name

Third Holder Name

<b>Name and Address of Witness</b>	<b>Signature</b>

## **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 favour 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)

<b>Nature of securities</b>	<b>Folio No.</b>	<b>No. of securities</b>	<b>Certificate No.</b>	<b>Distinctive No.</b>

**2. (a) PARTICULARS OF THE NEW NOMINEE:**

- i. Name :
- ii. Date of Birth :
- iii. Father's/Mother's/Spouse's name :
- iv. Nationality :
- v. Address :
- vi. E-mail id :
- vii. Relationship with the Security holder :

**(b) IN CASE NEW NOMINEE IS A MINOR:**

- i. Date of Birth :
- ii. Date of attaining majority :
- iii. Name of guardian :
- iv. Address of guardian :

**Name:**

**Address:**

**Signature of Witness with  
Name and Address**

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