



17th February, 2022

Corporate Relations Department  
BSE Limited  
Phiroze Jeejeebhoy Towers  
Dalal Street  
Mumbai – 400 001  
Scrip Code: 501301

National Stock Exchange of India Ltd.  
Exchange Plaza  
Bandra-Kurla Complex  
Bandra (E)  
Mumbai 400 051  
Symbol: TATAINVEST

Dear Sir/Madam

**Sub: Intimation to shareholders holding shares in physical mode for updating of valid PAN, KYC and nomination details.**

Pursuant to Regulation 30 and Part A of Schedule III of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed herewith a copy of the letter sent to the shareholders holding shares in physical mode in compliance with the SEBI Circulars dated 3rd November, 2021 and 14th December, 2021.

The Company has informed the physical shareholders to furnish their valid PAN, KYC and nomination details to the Registrars and Transfer Agent of the Company i.e., TSR Darashaw Consultants Private Limited.

This is for your information and records.

Thanking you,

Yours faithfully,  
**TATA INVESTMENT CORPORATION LIMITED**

**(MANOJ KUMAR C V)  
CHIEF FINANCIAL OFFICER  
COMPANY SECRETARY**

**TATA INVESTMENT CORPORATION LIMITED**

Elphinstone Building 10 Veer Nariman Road Mumbai 400 001  
Tel 91 22 6665 8282 Fax 91 22 6665 7917 e-mail ticl@tata .com  
website www.tatainvestment.com CIN L67200MH1937PLC002622

Dear Investor,

**Subject:** -Request for Updating KYC details as per SEBI Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated 3rd Nov 2021

We refer to the above circular issued by SEBI that mandates all the Listed Companies **should have on their records the PAN, Nomination, KYC details for all holders and Bank Account details of the first holder in the account.** This is applicable for all security holders in physical mode.

The salient features and requirements of the circular are as follows:

**A) Non-Update of KYC :**

- Folios wherein any ONE of the cited details/documents (i.e PAN, Bank Details, Nomination) are not available with us, on or after April 01, 2023, shall be frozen as per the aforesaid SEBI circular.**

**Notes:**

The security holders in the frozen folios shall **NOT BE ELIGIBLE:**

- To lodge any grievance or avail of any service from us, unless they have furnished the complete documents / details as required.
  - To receive any payment including dividend, interest or redemption amount (which would be only through electronic mode) unless they comply with the above stated requirements.
- The formats for Nomination and Update of KYC details viz., Forms ISR-1, ISR-2, ISR-3, SH-13, SH-14 and SEBI circular are available on our website <https://www.tcplindia.co.in> → Investor Services → Downloads → Forms → Formats for KYC.
    - For registering the new bank details, mandatory submission of **Original cancelled cheque leaf** bearing the name of the 1<sup>st</sup> holder or alternatively, to submit a copy of the bank passbook / statement of account, attested by the bank branch is required.

- B) Mandatory Linkage of PAN with Aadhaar - It is also mandatory to link PAN with Aadhaar number, as per the Central Board of Direct Taxes (CBDT) by March 31, 2022. Security holders who are yet to link the PAN with Aadhaar number are requested to get the same done before March 31, 2022. Post March 31, 2022 or any other date as may be specified by the CBDT, we will accept for registration only valid PANs which have been linked to their corresponding Aadhaar number. **The securities held in folios which have no PAN registered against the same/ or have invalid PAN registered on our records, as on the notified cut-off date of March, 31, 2022 or any other date as may be specified by the CBDT, shall also be frozen.****

**Note:** - Security holders from Sikkim can provide self-attested copy of Aadhaar Card/Voter's Card/Driving License/Passport or any other identity proof as issued by the Govt.

**In view of the above, we request you to submit the Investor Service Request Form ISR-1 printed overleaf, along with the required supporting documents as stated in Form ISR-1 at the earliest.**

You may use any ONE of the following modes for submission:

- In Person Verification (IPV):** by producing the originals to the authorised person of the RTA, who will retain copy(ies) of the document(s).
- In hard copy:** by furnishing self-attested photocopy(ies) of the relevant document, with date.
- With e-sign:**
  - In case your email is already registered with us, you may send the scanned copies of your KYC documents with **e-sign** at our dedicated email-id: [kyc@tcplindia.co.in](mailto:kyc@tcplindia.co.in). Kindly mention the email subject line as "**KYC Update - (Company Name) - Folio No : \_\_\_\_\_**"
  - Investors can also upload KYC documents with **e-sign** on our website <https://www.tcplindia.co.in> → Investor Services → KYC Compliance.

**E-Sign is an integrated service which facilitates issuing a Digital Signature Certificate and performing signing of requested data by e-sign user.**

**You may approach any of the empanelled e-sign Service providers available on <https://cca.gov.in/> for the purpose of obtaining e-sign.**

Yours faithfully,  
For TSR Darashaw Consultants Pvt. Ltd.  
Investor Services Section (ISS)

*This is a computer generated letter and hence no signature required. If you have already submitted the documents for updating KYC or have dematerialised your physical securities, please do not submit the documents again.*

**KYC FORM**

To,  
**TSR Darashaw Consultants Private Limited**  
 C 101, 247 Park, L.B.S.Marg, Vikhroli (West), Mumbai - 400083.  
 Unit : \_\_\_ [ COMPANY NAME ] \_\_\_\_\_

Date:     /     /  
 Folio No: \_\_\_\_\_  
 No. of Shares: \_\_\_\_\_  
 Serial No: \_\_\_\_\_

Dear Sir/Madam,

I/We, refer to the current status of the above-mentioned folio as provided by you in the following table:

Name of the Security holder(s)	PAN ( A )	Specimen Signature ( B )	Email ID ( C )	Mobile No. ( D )	Nominee Details ( E )
Aaa	Registered (masking)	Required	Required	Required	Required
Bbb	Registered (masking)	Required	Not Applicable	Not Applicable	Not Applicable
Ccc	Registered (masking)	Required	Not Applicable	Not Applicable	Not Applicable
-----					

**Bank Details :**

Name of the Bank	
Bank Account Number	*** Mask if Present Else Required
IFSC	MICR No :

I/We, are enclosing herewith Investor Service Request Form ISR-1 along with the required supporting KYC documents for updation.

**Signature(s) :**

First Holder	Joint Holder -1	Joint Holder -2	Joint Holder -3
Aaa	Bbb	Ccc	-----

Barcode (Normal/Speed)	<b>Postal No :</b>	<b>Serial No :</b>
TTL + Name of the Holder		
_____	(Address 1)	
_____	(Address 2)	
_____	(Address 3)	
_____	(Address 4)	
City _____	PIN _____	
<b>Unit Name :</b>		<b>Print Date :</b>

# Form ISR – 1

(SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated November 03,2021)

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

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

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

<input type="checkbox"/> PAN	<input type="checkbox"/> Signature	<input type="checkbox"/> Mobile Number
<input type="checkbox"/> Bank details	<input type="checkbox"/> Registered Address	<input type="checkbox"/> E-mail address

B. Security and KYC Details [ to be filled in by the First Holder ]

Name of the Issuer Company	Folio No(s).	
Face value of Securities	Number of Securities	
Distinctive number of Securities (Optional)	From	To
E-mail Address		
Mobile Number		
Serial No	{ } << Kindly write the Serial no as printed in KYC Form	

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

Name(s) of the Security holder(s) in Capital as per PAN Copies of PAN of all the Holder(s) duly self-attested with date to be enclosed with this Form.	PAN	PAN Linked to Aadhar -Y/N Tick any one [✓] *
1.		Yes / No
2.		Yes / No
3.		Yes / No
4.		Yes / No

Note: \* PAN shall be valid only if it is linked to Aadhar by March 31, 2022, or any other date as may be specified by CBDT.

Bank Account Details of First Holder		
Name of the Bank & Branch	IFSC	
Bank A/c No.	Tick any one [✓]- Acct type <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> Any other [ ]	

Note: Original cancelled cheque leaf bearing the name of the first holder is mandatory, failing which first security holder shall submit copy of bank passbook / statement attested by the Bank for registering the Bank Account details.

Demat Account Number	16 digit DP/CL [ ]
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Also provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.

Authorization: I / We authorise you (RTA) to update the above PAN and KYC details in my / our above 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 and documents enclosed are true and correct.

	First Holder	Joint Holder - 1	Joint Holder - 2	Joint Holder - 3
Signature				
Name				
Address				
PIN				

Note: If the address mentioned above differs from the address registered with the Company, you are requested to record the new address by submitting the documents as specified in point (3) overleaf.

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

No.	✓	Document/Information/Details	Instruction/Remark
1	<input type="checkbox"/>	PAN of (all) the (joint) holder(s)	PAN copies of all the holder(s) duly self-attested with date to be enclosed. PAN shall be valid only if it is linked to Aadhar by March 31, 2022, or any date as may be specified by the CBDT. For Exemptions / Clarifications on PAN, please refer to Objection Memo as specified in SEBI circular.
2	<input type="checkbox"/>	Demat Account Number	Provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.
3		Proof of Address of the first Holder	<p><b>Provide self attested copy of any ONE of the documents, issued by a Govt. Authority, only if there is change in the address;</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Client Master List (CML) of your Demat Account, provided by the Depository Participant.</li> <li><input type="checkbox"/> Valid Passport/ Registered Lease or Sale Agreement of Residence/ Driving License/Flat Maintenance Bill*</li> <li><input type="checkbox"/> Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.</li> <li><input type="checkbox"/> Identity card (with Photo) / document with address, issued by Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions.</li> <li><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.</li> <li><input type="checkbox"/> The proof of address in the name of the spouse*</li> </ul> <p><b>* Kindly provide additional self-attested copy of Identity Proof of the holder/ claimant.</b></p>
4	<input type="checkbox"/>	Bank details	Provide the latest copy of the bank statement with details of bank name, branch, account number and IFSC or Original cancelled cheque leaf bearing the name of first holder. Alternatively, Bank details available in the CML as enclosed will be updated in the folio.
5	<input type="checkbox"/>	E-mail address	As mentioned on Form ISR-1, alternatively the E-mail address available in the CML as enclosed will be updated in the folio.
6	<input type="checkbox"/>	Mobile	As mentioned on Form ISR-1, alternatively the mobile number available in the CML as enclosed will be updated in the folio.
7	<input type="checkbox"/>	Specimen Signature	Provide banker's attestation of the signature of the holder(s) as per Form ISR – 2 and Original cancelled cheque leaf bearing the name of the first holder.
8		Nomination	<p><b>Submit Form(s) as per any ONE of the following options.</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <b>SH-13</b> For First Time Nomination</li> <li><input type="checkbox"/> <b>SH-14</b> For Change in Existing Nomination</li> <li><input type="checkbox"/> <b>SH-14 and ISR-3</b> For Cancellation of existing Nomination and to "Opt-Out"</li> <li><input type="checkbox"/> <b>ISR-3 To "OPT-Out"</b> of Nomination or if No-Nomination is required</li> </ul>

**Note:** All the above forms are also available on the website of the RTA.

# Form ISR – 2

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)

## Confirmation of Signature of Securities Holder by the Banker

Serial No : \_\_\_\_\_

as mentioned in KYC Form

1. Bank Name and Branch			
2. Bank contact details			
Postal Address			
Mobile/Tel number			
E-mail address			
3. Bank Account number			
4. Account opening date			
5. Account holder's PAN	Account Holder's Name		
i)	i)		
ii)	ii)		
iii)	iii)		
iv)	iv)		
6. Latest photograph of the account holder(s)			
<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">             i)- Holder Photo           </div>	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">             ii)- Holder Photo           </div>	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">             iii)- Holder Photo           </div>	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">             iv)- Holder Photo           </div>
7. Account holder(s) details as per Bank Records			
a) Address			
b) Mobile/Tel number			
c) Email address			
d) Signature(s) of the Holder(s)			
i)  _____	<div style="border: 1px solid black; width: 200px; height: 80px; margin: 0 auto;"></div> <p><i>Bank Manager's Signature and Bank Seal</i></p>		
ii)  _____			
iii)  _____			
iv)  _____			
-- (To be Mandatorily Filled by the Bank Official) --			
Place:	Name of the Bank Manager :		
Date:	Employee Code :		
Mobile / Tel no:	Email_id :		

# Form ISR - 3

## Declaration Form for Opting-out of Nomination by Holders of Physical Securities in Listed Companies

(SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated November 03, 2021)

Date: / /

Name of the Company : .....

Serial No: \_\_\_\_\_

(As mentioned in KYC Form)

Address of the Company : .....

### 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(s) ( From – To )
Tick ✓ as relevant				
Equity / Debentures				

I / We the holder(s) of the securities particulars of which are given hereinabove, **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.

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.

### Signature(s) as per Specimen recorded with the Company.

First Holder	Joint Holder -1	Joint Holder -2	Joint Holder -3
<u>Signature</u>			
<u>Name</u>			

### Witness Details:

Name of Witness		Signature	
Address of Witness	_____	Date	
	_____ Pin: _____		

\* Use of ISR-3 (ie to Opt-Out of Nomination OR if "No\_Nomination" is required by the investor ) will be applied for the entire securities against the said Folio.

**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] Date:    /    /**

To,  
Name of the Company : -----  
Address of the Company: -----  
-----

Serial No: \_\_\_\_\_  
(As mentioned in KYC Form)

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(s) ( From – To )
Tick ✓ as relevant				
Equity / Debs/ Bonds				

**(2) PARTICULARS OF NOMINEE/S** — [Use photocopies of this blank nomination form in case of additional Multiple Nominations in the same folio ]

Name of Nominee			
Address of Nominee		Date of Birth	{    -    -    }
Father's/Mother's/ Spouse's name		Occupation	
Relationship with the security holder		Nationality	
E-mail_id		Mobile No	

**(3) IN CASE NOMINEE IS A MINOR** —

Name of Guardian		Date of Birth	{    -    -    }
Address of Guardian		Date of attaining majority	{    -    -    }

Signature(s) as per Specimen recorded with the Company.

	First Holder	Joint Holder -1	Joint Holder -2	Joint Holder -3
<u>Signature</u>				
<u>Name</u>				

**Witness Details:**

Name of Witness		Signature	
Address of Witness	_____ Pin: _____		
		Date	

\* Nomination will be registered for entire holding in the folio. In case of more than one nominee, the ratio should be furnished & separate form to be filled for each nominee.