

SEC/FILING/BSE-NSE/2023-24/68A-B

Date: 29/05/2023

To,

National Stock Exchange of India Limited
Exchange Plaza,5th Floor,
Plot No. C/1,G Block,
Bandra- Kurla Complex,
Bandra (East), Mumbai - 400 051
Scrip Code : SHRIRAMFIN

BSE Limited
P. J. Towers,
Dalal Street,
Fort, Mumbai - 400 001
Scrip Code : 511218

Dear Sirs,

Sub: Letter to shareholders for updating their PAN, KYC details and Nomination details.

In accordance with the Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (Listing Regulations), please find enclosed herewith the copy of reminder letter along with Form ISR-1, ISR-2, ISR-3 and SH-13, sent to the shareholders on May 27, 2023 through dispatch of physical letters, requesting them to update their PAN, KYC details and Nomination details pursuant to SEBI circular No.SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2021/655 dated November 03, 2021 (as amended) and latest Circular being SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 on “Common and Simplified Norms for processing investor’s service request by RTAs and norms for furnishing PAN, KYC details and Nomination”.

We request you to take this on record and to treat the same as compliance with the applicable provisions of the Listing Regulations.

Thanking you,

Yours faithfully,

for Shriram Finance Limited

U Balasundararao

Company Secretary and Compliance Officer

Encl : A/a

Shriram Finance Limited

(Formerly known as Shriram Transport Finance Company Limited)

Corporate Office : Wockhardt Towers, Level - III, West Wing, C-2, G-Block, Bandra - Kurla Complex, Bandra (E), Mumbai - 400 051, Maharashtra. Ph: +91 22 4095 9595

Registered Office: Sri Towers, Plot No.14A, South Phase, Industrial Estate, Guindy, Chennai - 600 032. Tamil Nadu, India. Ph: +91 44 4852 4666

Website : www.shriramfinance.in | Corporate Identity Number (CIN) - L65191TN1979PLC007874

Dear Shareholder,

Sub: Furnishing of PAN, KYC details and Nomination by shareholders holding shares in physical mode

Ref.: Folio No :

SEBI, vide Circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/ CIR/2021/655 dated November 03, 2021 read with Circular No. 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 SEBI Circular has mandated shareholders holding shares in physical mode to furnish the following details to the Company/ RTA:

1. Valid PAN including that of joint shareholders duly linked with Aadhaar;
2. Nomination details;
3. Complete Postal Address with Pin Code, Email address and Mobile Number;
4. Bank Account details (Bank Name, Branch, Bank Account No, IFSC and MICR code);
5. Specimen Signature

As per SEBI circulars, shareholders are required to furnish all the above details failing which all such physical folios shall stand frozen with effect from October 01, 2023. Shareholders of such frozen folios would be eligible:

- to lodge grievance or avail any service request from the RTA only after furnishing the complete documents / details as mentioned above.
- for payment of dividend, in respect of such frozen folios, only through electronic mode with effect from **April 01, 2024**, upon updation of all KYC details stated above.

In case where valid PAN (linked with Aadhaar) is not registered with the Company/Integrated Registry Management Services Private Limited (RTA), such folios shall stand frozen with effect from **July 01, 2023** or any other date as may be specified by the Central Board of Direct Taxes (CBDT).

We observed from our records that you have not furnished all / some of the mandatory documents / details against your holding. Hence, we request you to furnish the duly completed forms enclosed herewith immediately along with self-attested proofs mentioned in the respective forms to our RTA with date of attestation.

S No.	Particulars	Status as per RTA / Company records	Furnish details in
1	PAN (linked with Aadhaar)		Form ISR - 1 (Form attached)
2	Address		
3	Email address		
4	Mobile Number		
5	Bank account details		
6	Nomination details		Form No. SH-13 (Nomination Registration Form) / Form ISR-3 (Form for opting out of Nomination) (Forms attached)
7	Specimen Signature		Form ISR-2 (Form attached)

In case of mismatch in the signature of the shareholder in the records of RTA, the shareholder shall furnish the original cancelled cheque with name of the shareholder printed on it / Bank Passbook / Bank Statement attested by the Bank, as per Form ISR-2.

P.T.O.

Shriram Finance Limited

(Formerly known as Shriram Transport Finance Company Limited)

CIN : L65191TN1979PLC007874

Registered Office: Plot No.14-A South Phase, Industrial Estate, Guindy, Chennai - 600 032.

Corporate Office: "Wockhardt Towers", 3rd Floor, West Wing, C-2, G-Block, Bandra-Kurla Complex, Bandra (East),

Mumbai - 400 051 Tel No: +91 22 4095 9595 Fax: +91 22 4095 9597 Email : secretarial@shriramfinance.in

Shareholder shall continue to use Form SH-13 and SH-14 for declaration of nomination or for cancellation/change in nomination, respectively. However, in case a shareholder wants to opt-out of nomination, Form ISR-3 shall be filed.

Kindly note that holding shares in dematerialised form has several advantages. Hence, please dematerialise your shares on priority by submitting the share certificates held by you in physical form to your Depository Participant (DP) for dematerialisation. In case you do not have a demat account, please open a demat account with a DP at the earliest so that the share certificates could be dematerialised.

Please also note that 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. This letter is a reminder to our earlier letters dated December 10, 2021 and August 30, 2022, as per SEBI circulars.

In case you have submitted the relevant KYC documents already, please ignore this communication.

Thanking you,

Yours faithfully,
for **Shriram Finance Limited**
sd/-
U Balasundararao
Company Secretary

Encl.: Form ISR-1, Form ISR-2 & Form No. SH-13 / Form ISR-3

Address of Registrar and Transfer Agent:
Integrated Registry Management Services Private Limited
Unit : Shriram Finance Limited

2nd Floor, Kences Towers No. 1 Ramakrishna Street,
North Usman Road T Nagar, Chennai - 600 017 Phone : 044-28140801 to 28140803 Fax : 044-28142479
E-mail : csdstd@integratedindia.in

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 / Remarks
1		PAN of (all) the (joint) holder(s)	
	<input type="checkbox"/>	PAN – Sole/First Holder	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
		Joint Holder-1	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
		Joint Holder -2	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
		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	<input type="checkbox"/>	Demat Account Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
			Also provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.

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

	Holder1	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 or <u>Bank Passbook or Bank Statement attested by the Bank</u>
<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) or '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 be 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	Furnish any one of the following documents, explaining the difference in names; <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	RTA shall issue intimation to both the old and new addresses. <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. 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-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

Company Name : _____

Folio No. : _____

1. Bank Name and Branch				
2. Bank contact detail 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 style="width: 33%; text-align: center;">1st Holder</td><td style="width: 33%; text-align: center;">2nd Holder</td><td style="width: 33%; text-align: center;">3rd Holder</td></tr></table>		1st Holder	2nd Holder	3rd Holder
1st Holder	2nd Holder	3rd Holder		

7. Account holder(s) details as per Bank Records	
a) Address	
b) Phone number	
c) Email address	
d) Signature(s)	
<p>1) _____ 2) _____ 3) _____</p>	
Seal of the Bank	Signature verified as recorded with the Bank
	Signature of Bank Manager
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 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)

Nature of Securities	Folio No.	No. of Securities	Certificate No.	Distinctive Nos.	
				From	To

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 Act
(Share Capital and Debentures) Rules 2014]

Folio No. :

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 of all the holder(s) as appearing in the certificate		Signature as per specimen recorded with Company and Date
Sole / 1 st Holder		
1 st Joint Holder		
2 nd Joint Holder		

Signature of Witnesses:

Complete Name and Address		Signature with Date
1		
2		

Instructions:

- 1) Nomination can be made by individuals only, holding securities on their own behalf.

- 2) Transfer of securities in favour of a Nominee shall be valid discharge by the Company against the legal heir.
- 3) Nomination stand rescinded upon transfer / transmission / transposition of securities.
- 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.
- 5) Nominee cannot be a Trust, Society, Body Corporate, Partnership Firm, Karta of Hindu Undivided Family or a Power of Attorney Holder.
- 6) Only one person can be nominated for a given Folio.
- 7) Nomination can be varied by executing fresh Nomination form and can be cancelled by executing Form ISR-3, Form SH-14.
- 8) Any claim other than those from registered nominee will not be entertained unless directed by a Competent Authority / Court.
- 9) Please use separate Nomination Forms for each Folios, if you have more than one Folio.
- 10) Upon registration of Nomination RTA / Company will issue a Nomination Registration Number. Registration Number and Folio Number should be quoted by the nominee in all correspondence, preferably with the copy of the Registration letter sent by the RTA / Company.