

## Depository Services

(Available to Demat account holder)

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### Flow of Presentation



➤ Dematerialisation of Securities

➤ Transposition of Securities

> Rematerialisation of Securities

>Transmission of Securities

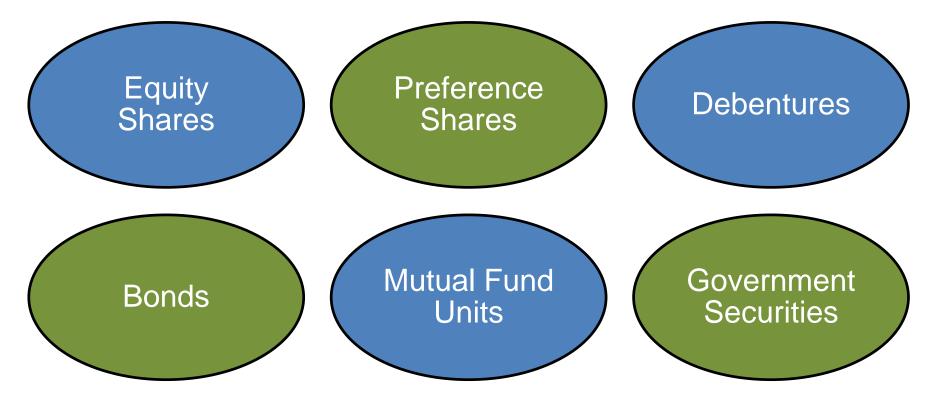


## Dematerialisation

#### What is Dematerialisation?



- > Conversion of physical securities into electronic form.
- Some examples of securities that can be Dematerialised :



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## **Dematerialisation: Prerequisites**



- ➤ Investor should have a Demat account with any Depository Participant (DP).
- Securities should be available for Dematerialisation (active ISIN):
- Company Details whose securities are available for Demat is available on websites of Depositories:
  - CDSL: <a href="https://www.cdslindia.com/Investors/InvestorCorner.aspx">https://www.cdslindia.com/Investors/InvestorCorner.aspx</a>
  - NSDL : <a href="https://nsdl.co.in/master\_search.php">https://nsdl.co.in/master\_search.php</a>
- Details of Registrar and Transfer Agent (RTA) of company available on "Investor Relations" section of the Company website.

# Dematerialisation : Check Company Status (Sample)



Master Search					Checking company	
Company Name (You may enter a part of a string)	Search				status on NSDL website	
	ISIN Search					
		● ISIN Name	Code			
Checking	Search on Criteria:	Enter ISIN Name	S	tatus: Act	tive	3
status on CDSL	Security Type:	Equity	÷	Submit		
UDSL						

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#### **Dematerialisation: Process**



#### Broad Process :

Obtain Demat Request Form (DRF) from DP Fill DRF properly and sign

Submit DRF and physical certificates to DP

#### > Care to be taken :

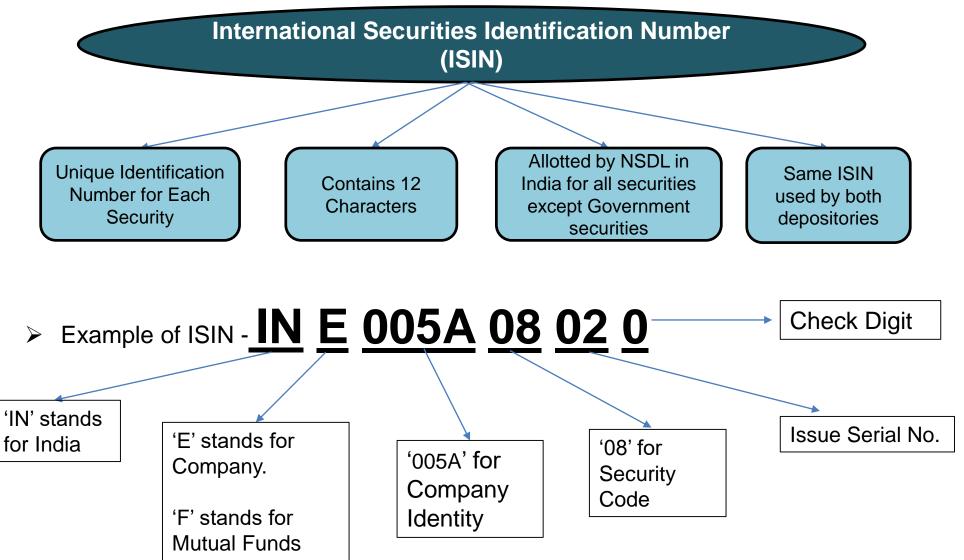
- DRF should be signed by all holders (in case of joint holders).
- Pattern of holdings in the certificates should match with Demat account.

#### Separate DRF should be submitted for -

- Each ISIN (meaning of ISIN in later slide).
- Free and locked in securities.
- Securities locked-in for different reasons and different lock-in release dates.

## Dematerialisation: Meaning of ISIN





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# Dematerialisation : Sample Physical Security



		ure into One Equity Share of F RE CERTIFICATE (upto 25	Rs. 10/- each at a premium of Rs	espect of the Equity Shares consequent . 45/- per Share.
THE STREET STREET	OF RS. 55/- OF 12.5% SE	CURED REDEEMABLE PA	ARTLY CONVERTIBLE DEBE	NTURES EACH OF BS. 150/- Rs. 15.00
(Authorised Signatory) Amount Paic Debenture o	I-up per n First call on	(Authorised	Amount Paid-up per Depenture on Second ca	ll on Rs.
	SHARE CERTIFI	CATE (with effect fr	om 26th August 199:	3)
		IARE EACH O		
	FOLIO NO.	AID UP PER S	T NO.	Rs. 5.00
1	200	43244	RE ON FIRST CALL	1 DN 8-12-1993 Rs. 5.00
Authorised Signatory		(FULLY PAID-		
The state of the s	S m &		A Company of the Comp	
Name(s) of Holder(s)		100 mg		The same of the sa
No. of Debenture(s) held			THE THE	
(Upto 25th August, 1993)	ONE ONLY			(******1)
	0070/7/47	TO 0932474		
Distinctive No.(s) of Debenture(s)	073247413	10 0932474	13 accommunity and arrange	
No. of Equity Share(s) held	ONE ONLY	10.0932474	13 production control	(******1)
	ONE ONLY	10 2563442		(******1)
No. of Equity Share(s) held (From 26th August, 1993) Distinctive No.(s) of Equity Share(s	ONE ONLY		73	( * * * * * * * 1 )  be valid/effective upon issue of this
No. of Equity Share(s) held (From 26th August, 1993) Distinctive No.(s) of Equity Share(s	ONE ONLY 256344273	10 2563442 850564	7.3 which ceases to	(*******1)  be valid/effective upon issue of this in to the amount paid up thereon and pro-rate
No. of Equity Share(s) held (From 26th August, 1993) Distinctive No.(s) of Equity Share(s	ONE ONLY 256344273	10 2563442	7.3 which ceases to	
No. of Equity Share(s) held (From 26th August, 1993) Distinctive No.(s) of Equity Share(s	Stamp of E	10 2563442 850564	7.3 which ceases to	

## **Dematerialisation: Sample Demat** Request Form (Equity shares) - NSDL



#### FORM 4

Participant's	Name,	Address	కిం	$_{\rm DP}$	Id
(pre-printed)					

DEMATE	RIAL	ISATI	ON	1 REQ	UEST	FORM			
				(to be fill	DRN ed-in by the	DF)			
Serial No. (Pre Printed)						Date	=		
I/We request you to dematerialise th given below:	e enclo	sed ce	rtifi	icates ir	nto my/	our acce	ount as j	per the	details
Client Id									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
Company Name									
Type of Security	Equity,	Others (	(pleas	re specify)					
Quantity to be Dematerialised (in figures)									
(in words)									
Face Value									
ISIN (To be filled in by the DP)	1	N							

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# Dematerialisation : Sample Demat Request Form (Equity shares) - NSDL



#### Details of Securities:

	Free Securities	3 🗆	Locked-in Securi	ties	
Folio No.	. Certificate Nos. Distinctive Nos.		Distinctive Nos.		Quantity
	From	То	From	То	

Total No. of Certificates : \_\_\_\_\_

#### Details of Locked-in Securities:

Lock-in reason	
Lock-in release date	

(In case the space is found to be insufficient, an annexure containing the certificate details in the same format may be attached. Please use separate form for free securities and locked-in securities)

# Dematerialisation : Sample Demat Request Form (Equity shares) - NSDL



#### Declaration

I/We hereby declare that the above mentioned securities are registered in my/our name. The original certificates are hereby surrendered by me/us for dematerialisation. I/We also hereby declare that the securities surrendered by me/us for dematerialisation are free from any lien or charge or encumbrance and represents the bonafide securities of the company to the best of my/our knowledge and belief.

Holder(s)	Signature(s)
Sole/First Holder	
Second Holder	
Third Holder	

#### Participant Authorisation

We have received the abovementioned securities for dematerialisation. The application form is verified with the certificates surrendered for dematerialisation and we certify that the application form is in accordance with the details mentioned in the enclosed certificates. It is also certified that the holders of the securities have beneficiary account with us in the same name(s).

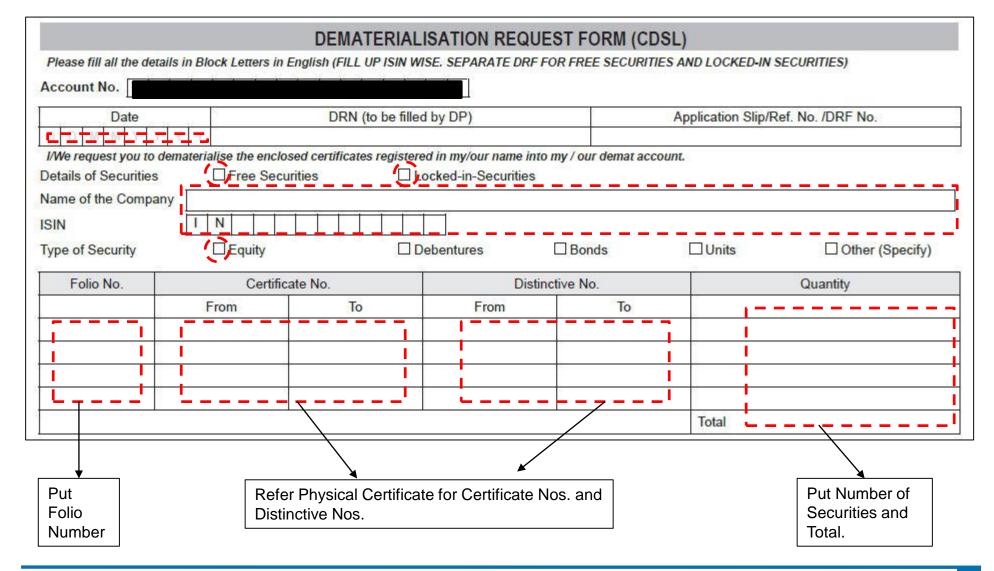
Name of the Executive : Signature :

Participant's Stamp & Date

\* After submitting the duly filled and signed form, please remember to take the acknowledgment receipt for the form submitted.

# Dematerialisation : Sample Demat Request Form (Equity shares) - CDSL





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# Dematerialisation : Sample Demat Request Form (Equity shares) - CDSL

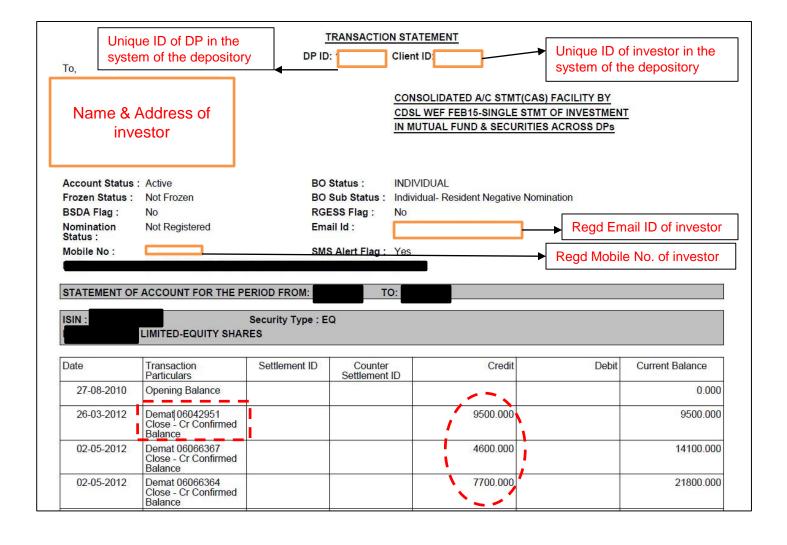


Number of Certificates (In words) Face Value of Securities Rs.					
Quantity to be	(In Figures)	*			
Dematerialised	(In words)				
If the space abov	e is found to be insuffic	cient, an annexure containing the cer	tificate details duly signed in the same t	format may be attached.)	
In case of Locke	d-in Securities fill up a	separate DRF for Locked - in Securit	ies having different release dates.		
Lock-in Reason					
Lock-in Release	Date				
		hereby surrendered by me / us for do f the Issuer Company to the best of m	ematerialisation and the same are free f by / our knowledge and belief.	from any lien or charge or encumbran	
Names		I		l l	
Names Signature with D	P		1		

Signatures provided in boxes for "Signature with DP" and "Signature with RTA / Issuer / Company" **should exactly match** with signatures earlier provided to DP and RTA / Issuer / Company respectively.

## Dematerialisation: Sample Transaction Statement showing Credit of Dematerialised Shares





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### **Dematerialisation: Mutual Fund Units**



- Following Mutual Funds have the option to convert/ subscribe to Demat Form:
  - All existing mutual fund units issued by all the mutual fund companies.
  - All New Fund Offers (NFOs).
  - All existing mutual fund investments through SIP mode.
- ISIN of your mutual fund units
  - Can be seen in the Statement of Account / Consolidated Account Statement (CAS).
  - Can be searched at website of CDSL/NSDL.
- Investor needs to submit a 'Conversion Request Form' along with Self Attested Statement of Account received from Mutual Fund to the Depository Participant (DP).

# Dematerialisation : Sample Demat Request Form (Mutual Fund Units) - NSDL



FORM 2

Participant's Name, Address & DP ID (Pre-printed)

CONVERSION REQUEST FORM FOR EXISTING MUTUAL FUND UNITS (REPRESENTED BY STATEMENT OF ACCOUNT) INTO DEMATERIALISED FORM - THROUGH DEPOSITORY PARTICIPANT

Serial No (Pre <u>Printed</u> )	Date:						
I/We request you to convert the following t Issuer into my/our account as per the detail		y Stateme	nt of Acc	ount (enc	losed) issu	ued by the	e ·
Client ID							
Sole/First Holder Name			•		•		
Second Holder Name							
Third Holder Name							
Type of Security	MF Units/Others	(please spec	<i>\$6)</i>				
Folio Number							
Details of Units:							
Free Units		Locked	-in Units				

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# Dematerialisation : Sample Demat Request Form (Mutual Fund Units) - NSDL



ISIN	Mutual Fund Name	Unit Description	Quantity*	CRN (To be filled in by Participant)

<sup>\*</sup> For conversion of all the units in respect to a mutual fund scheme (ISIN) held in the folio of the Client at the time of confirmation of request by the AMC/R&T Agent, specify "All" against Quantity.

Total No. of pages of Statement of Account:

Details of Locked-in units (if any):

ISIN	Lock-in reason	Lock-in release date

 Always remember to provide all the details in the form and collect an Acknowledgment receipt after submitting the form.

# Dematerialisation : Sample Demat Request Form (Mutual Fund Units) - NSDL



#### Notes:

- In case the space is found to be insufficient, an annexure containing the said details in the same format
  may be attached.
- 2. Please use separate form for free units and locked-in units

#### Declaration

I/We hereby declare that the above mentioned units are registered in my/our name and are not already dematerialised and no certificates are issued against these units. I/We also hereby declare that the units requested by me/us for conversion into dematerialised form are free from any lien or charge or encumbrance and represent the bonafide units of the Issuer to the best of my/our knowledge and belief.

Holder(s)	Signature(s)
Sole/First Holder	
Second Holder	
Third Holder	

#### Participant Authorisation

We have received the abovementioned units for conversion into dematerialised form. It is certified that the holders of the securities have beneficiary account with us in the same name(s).

Name of the official : Signature :

Participant's Stamp & Date

- Always remember to provide all the details in the form and collect an Acknowledgment receipt after submitting the form.
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# Dematerialisation : Sample Demat Request Form (Mutual Fund Units)



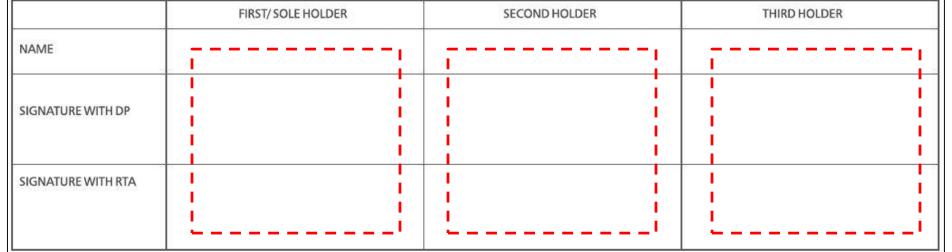
MF-DRF FORM - For	conversion of exis	sting Mutual Fund Unit	s represented by Sta	atement of Accou	nt into electro	nic (Destatem	entized Form)
		(10	o be filled up by the DP	)			
(To be filled by the BO. Please fill all th I/We request you to convert (Des						ount:	
DPID				CLIENTID			
Name of First Holder				=		====:	=====;
Name of Second Holder							
Name of Third Holder							
* Total Number of pages con	ntained in the Statem	ent of Account:					
E-P-AI		Mutual Fund Name &	The second second	ntity	Lock-ii	n Details	Destatementization
Folio No.	ISIN	Units Description	In Figures (or) All	In Words (or) All	Reason	Expiry Date	Request No./ RRN (To be filled in by DP)
$i = i \mid i$		1:	i	40000	1		
<u> </u>					<u> </u>		'
[		[ ]	!	100001	11777	11777	1 (
	,	[	!	17!	11777	11777	
[	•						

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# Dematerialisation: Sample Demat Request Form (Mutual Fund Units)



Declaration by BO(s): I/We hereby declare that the abovementioned MF units are registered in my/our name(s) and are not already destatementized and no certificates issued against these MF units. I/We also hereby declare that the units requested by me/us for conversion into destatementized form are free from any lien or charge or encumberance and represent the bonafide units of the Issuer to the best of my/our knowledge and belief.



Signatures provided in boxes for "Signature with DP" and "Signature with RTA" should exactly match with signatures provided to DP and RTA earlier.

## Dematerialisation: Rejection of Demat Request Form (DRF)



### Some common reasons for rejection of DRF:

- Incorrect Holder(s) name
- Certificate details mismatch
- Demat request initiated under wrong ISIN
- > Transmission Form / Death Certificate not submitted
- DRF not signed / stamped by DP
- Signature mismatch
- Verification of Share Certificate(s) not received from RTA within prescribed timelines
- Mismatch between actual quantity of shares and quantity of shares mentioned in DRF
- Shares under "stop transfer" / court injunction
- Allotment / Call Payment receipt not attached
- Certificates submitted are "reported as stole"
- Duplicate certificates already issued
- Old defunct certificates surrendered for Demat
- Forfeited securities surrendered for Demat
- Forged endorsement on certificate

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## Dematerialisation: What to do if Demat Request is rejected?



### Steps to be taken after rejection of DRF:

Issuer / RTA sends an Objection Memo containing reasons for rejection of request.



DP informs investor about rejection of Demat request.



Investor can see transaction status in statement of transactions.



Finally, Submit the request for Demat once again through DP.



Investor needs to rectify errors / remove deficiency in the documentation.

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## Transposition

## **Transposition Form**



### > When is Transposition Form needed to be submitted?:

- For rectification of order of names of Joint Demat Account holders.
- When order of names of joint shareholders on the physical share certificate is not same as the order of names on Joint-Demat account.
- Transposition form will have to be signed in the same order as on the Joint Demat account.

# **Transposition: Sample Application Form for Transposition (TRPF) - NSDL**



## FORM 31 TRANSPOSITION FORM (for transposition and demat cases)

т.				
Date				İ

 $To_{s}$ 

Name of Participant Address of Participant

We, the undersigned, being the joint holder(s) of securities of (<u>Name of the Company</u>) wish to have our holdings transposed in the following order in which we have an account with you. We are also submitting the certificate(s) alongwith DRF for dematerialisation.

Names on the certificate of security:

Name	Signature(s)

Details of our client account:

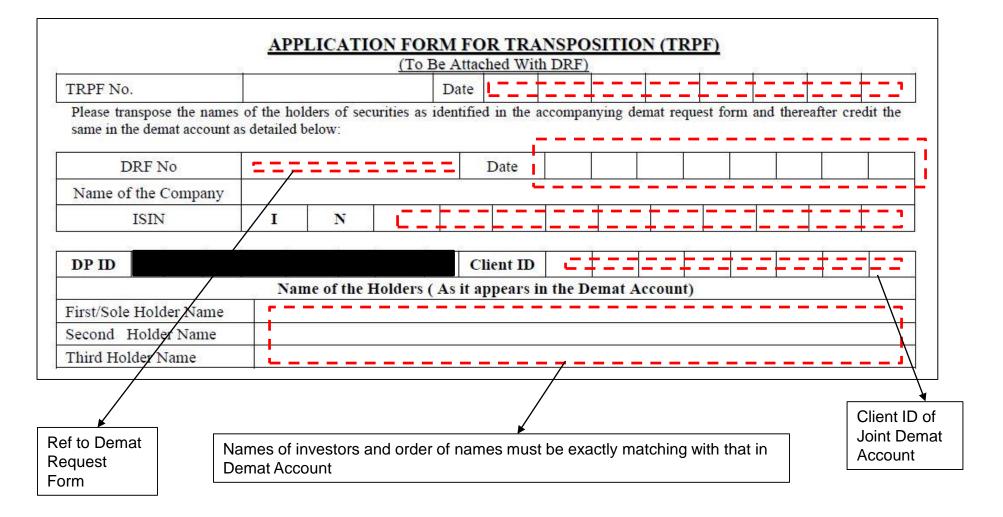
DP Id	Client Id	Names of the account holders

Note: Separate Transposition form should be filled by the joint holders for securities having distinct ISINs

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# **Transposition: Sample Application Form for Transposition (TRPF) (1/3)**





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# Transposition: Sample Application Form for Transposition (TRPF) (2/3)



Sr.No.	Name(s) of the Holder(s)
1	
2	
3	Li
Sr.No.	Name(s) of the Holder(s)
Folio No.	
1	
2	
3	
Folio N	
Sr.No.	Name(s) of the Holder(s)
1	

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# Transposition: Sample Application Form for Transposition (TRPF) (3/3)



	First/Sole Holder	Second Holder	Third Holder
Name (As per demat a/c)			
Signature with <b>DP</b>			
Signature with RTA			

Signatures provided in boxes for "Signature with DP" and "Signature with RTA" should exactly match with signatures provided earlier to DP and RTA respectively.



## Rematerialisation

### Rematerialisation



#### What is Rematerialisation?

Conversion of securities held in Demat form to physical form.

#### Pre-requisite of Rematerialisation

Sufficient Balance of Securities in Demat Account.

#### Process

- Submit Remat Request Form (RRF) to DP.
- RRF should be signed by all holders (for joint holders).
- Separate RRF should be submitted for -
  - ✓ Each ISIN
  - ✓ Free and locked in securities
  - ✓ Securities locked-in for different reasons and different release dates

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#### FORM 6

#### REMATERIALISATION REQUEST FORM

(pre-printed serial nos.)

PARTICIP.	ANT	'NAI	ME														
DEPOSITO	DEPOSITORY PARTICIPANT - ID																
RRN									$\mathbf{D}A$	ATE							

I/We hereby declare that the below mentioned account may be debited to the extent of my/our rematerialisation request and equivalent certificates be issued for the same. I/We hereby declare that the below mentioned person(s) are the beneficial owners of the securities mentioned.

Account No.		Π	$\Box$	П		Т	П		Т	]									
Account Holder Name																			
No. of Securities to be Remate	erial	ise	d : (:	nos	5.)		T								$\Box$				
(in words)									Т										
Lot Type Requested	M	ark	et lo	ot /	Jui	nb	0												
Name of the Security																			
Name of Issuing Company																			
Face Value																			
ISIN		$\Box$						$\Box$								T	T		

The rematerialisation request is for locked shares

Yes/No



	uan																										
L	ock	in 1	Rea	sor	ı:																						
L	ock	in 1	Rel	eas	e D	ate	(dd	l-m	т-у	ууу	y)																
	Т	П			Т	П		П	$\top$																		
								•																			
$\mathbf{A}$	ddre	ess	: (	to	be	fille	ed i	n or	nly	if c	han	ige:	in a	ddı	ess	is t	o b	e re	cor	dec	I)						
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$\vdash$	Ш							$\vdash$			$\vdash$						P	in					$\vdash$	$\vdash$			
			_					_	_	_	_	_	_									_	_	_	_		
	41	:.	- 4	c:-	4		<b>(-)</b>																				
A	utho	oris	ea	Sig	nati	ure	(s)																				
										Na	ame									Sig	natı	ure					
Fi	rst/	Sol	e H	old	ler																						
Se	cor	nd I	Hol	der																							
T1	hird	Ho	olde	ī																							

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#### Participant Authorisation

Received the above mentioned securities for rematerialisation from :

Account No.									
ISIN									
Date									
Account No.									
Name of the first	holder								

The application form is verified with the details of the beneficial owner's account and certify that the application form is in order. The account has sufficient balances to accept the rematerialisation as requested. It is also certified that the beneficial owners signatures are verified and found in order. The other details of the beneficial owners as extracted from the records are enclosed.

Forwarded by :			(Seal)
Signature :	( Name of the Exec	cutive)	
	(to be prins	ted from the system )	
Remat Request No.			
Status .	Sub Status	(Occupation):	

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In Case of Individuals														
Name(s) in full														
First/Sold holder														

Second holder
Third holder

#### In case of Corporates

Name																							
																						$\Box$	$\Box$

Fi	Full Address																						

<sup>\*</sup> Always provide your complete details along with updated address, email-id and mobile numbers.

## Rematerialisation : Sample Remat Request Form - NSDL



Tax Information																						
							PA	N/O	GIR	No.	٥.		C	ircl	le/v	vare	d/di	istri	ct			
Sole/First Applicant																						
Second Applicant																						
Third Applicant																						
D - 11 - 1 - 1 - 1 - 1 - 1							_															
Residential status:							Ke	sia	ent	/ N	KI											
In Case of NRI Hold	ing																					
Indian Address																						
Foreign Address																						
	Ш			Ш																		
Nationality	Ш																					
RBI Approval No.				$\perp$		$\perp$				$\perp$		D	ate							$\perp$		
Bank Account No.																						
Lock in Reason																						
Lock in Release Date	(dc)	l-m	mı-y	~~	Z)																	
		<u> </u>	$\perp$		J																	

• Always remember to collect an Acknowledgment receipt after submitting the form.

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### Rematerialisation : Sample Remat Request Form



	To be filled by the DP							
Rematerialisation Request Form (RRF)								
RRN	Date of Receipt : D D I	M M Y Y Y Y CPO SR. NO.						
INDOC NUMBER	SEQUENCE NUMBER	Date D D M M Y Y Y						
	hat the below mentioned person(s) are the bene	r rematerialisation request and equivalent certificates — fic <u>ial own</u> ers of the seurities mentioned.						
Account Holder Name								
First/Sole Holder								
Second Holder								
Third Holder								
No. of Securities to be Rematerialised		un wocds)						
Lot Type Requested								
Market lot / Jumbo								
Name of the Security		Face Value: ₹ [						
Name of Issuing Company		SIN						

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## Rematerialisation : Sample Remat Request Form (Lock-in)



The Remateriali Quantity	sation request is	s for locked share	Yes	s/No	Lock in Release Date	e: D D M I	W Y Y Y
Lock in Reason	Problem A	change in addres	s is to be recorded)				
						Pin	

### Rematerialisation : Rejection of Remat Request



Incomplete or incorrect RRF

RRF details mismatch with electronic request

Non receipt of RRF by Issuer / RTA

> Investor may make corrections and Re-Submit the RRF



### **Transmission**

#### What is Transmission?



#### > Meaning:

- Securities owned by a person who has died are "transmitted" to his legal heirs.
- Legal heirs need to submit necessary documents:
  - Notarized death certificate
  - Notarized Succession certificate
  - Notarized copy of the Probate or Letter of Administration, etc.
- Transfer brought about By operation of law.

#### **Transmission Procedure**



#### **Steps for Transmission**

Surviving joint holder/s, nominee or legal heirs of deceased account holder to approach the Depository Participant (DP)



For shares held in physical form - Approach each Company and their respective RTAs.

### Transmission: Documents to be submitted (for Individual accounts)



Account Holder	Documents Required
Surviving Holder (s) in a Joint Account	- Copy of Death Certificate duly attested by a Notary Public or by a Gazetted Officer.
	<ul> <li>If Demat Account of surviving holder(s) is not with DP of the deceased, duly certified copy of "Client Master Report" (CMR) of surviving holder(s).</li> </ul>
	(Surviving holder(s) can obtain CMR from his DP)
Nominee of Deceased	- Copy of Death Certificate duly attested by a Notary Public or by a Gazetted Officer.
	<ul> <li>If Demat Account of claimant is not with DP of the deceased, duly certified copy of "Client Master Report" (CMR) of nominee's account.</li> </ul>
	(Nominee can obtain CMR from his DP)

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### Transmission: Documents to be submitted (for Individual accounts)



Account	Holder	Documents Required
Legal Heir (s)/ legal representative(s) [where deceased	Value of Holding < Rs.5 lakh as on the date of application (*)	<ul> <li>Attested copy of Death Certificate</li> <li>Indemnity</li> <li>Affidavit</li> <li>No objection certificate(s) / Family Settlement Deed [as an alternate to No objection certificate(s)]</li> </ul>
was a Sole Holder without nominee]	Value of Holding > Rs.5 lakh as on the date of application (*)	<ul> <li>Attested copy of Death Certificate</li> <li>Succession certificate</li> <li>Letter of Administration / Probate of the Will (as applicable)</li> </ul>

> (\*) If Demat Account of claimant is not with DP of deceased, duly certified copy of Client Master Report (CMR) of account of legal heir (s) to be submitted.

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### Transmission: Documents to be submitted (for Joint accounts)



- > Death of a joint holder:
- Surviving holders to open a new account with the Depository in the same sequence of surviving holders.

#### Documents to be submitted:

- Duly filled Transmission Request Form (and Transposition Form, if applicable).
- If demat account of surviving holders is not with same DP, duly certified copy of Client Master Report (CMR) of demat account held with the other DP.
- Attested copy of Death Certificate.

# Transmission : Sample Transmission Request Form (1/2)



Transmission Request Form
(Please fill all the details in Block Letters in English)
Date: D D M M Y Y Y Y
Dear Sir / Madam,
(1) I / We, the undersigned, being the
Executor(s) of the Will  Legal heir(s)  Joint holder(s)  Nominee
Administrator(s) of the Estate Sucessor(s) to the Estate
of Mr./Mrs./Ms and
Mr./Mrs./Ms, the deceased, of which *nomination / probate / letter administration /
succession certificate was duly granted to me/us on the day of of 20 hereby request you to register me/us as the beneficial owner(s) in respect of the securities standing in the name of the said deceased under Client ID DP ID
(2) I/We give hereunder the details of my/our account with a Participant to which the security balances are requested to be transmitted.
Attach an annexure duly signed by account holders(s) if the space above is insufficient.

## Transmission : Sample Transmission Request Form (2/2)



ame(s) of the urviving holder(s)	First/Sole Holder	Second Holder	Third Holder
	al heir(s)/legal representative(s) where dece	ased was a sole holder and no nomination	in the account - Value of holding no
e declare that the belo	n the date of application) ow mentioned person(s) are the only legal he are claimants and some of them have given a		
r.No. Name o	f the legal heir(s)	Specify whether a claimant or	given a No Objection certificate
r		1 1	
11			
ignatures:			
	f claimant		Signature of claimant
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### **Thank You**