CDSL/OPS/RTA/POLCY/2022/172 **September 29, 2022**

AMENDMENTS TO CDSL's RTA OPERATING INSTRUCTIONS

Issuers / RTAs are advised to note that amendments have been effected in CDSL's RTA Operating Instruction Chapter 1. - Dematerialisation of existing scrips to incorporate the Isssuance of Securities in dematerialized form in case of Investor Service Request as per the guidelines provided in SEBI Circular no. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated January 5, 2022.

The amendments to RTA Operating Instructions in track changed mode are attached herewith as **Annexure – A.**

Issuers / RTAs are advised to take note of the same.

Queries regarding this communiqué may be sent to **CDSL – Helpdesk** through e-mail on helpdesk@cdslindia.com or call us on: 08069144800.

sd/-

Nilesh Shah
Asst. Vice President – Operations

1. DEMATERIALISATION OF EXISTING SCRIPS		
Point No.	**Existing**	**Proposed Amendments**
1.7	**NIL**	**Procedure for Issuance of Securities in dematerialized form:** RTA has to follow the procedure as mentioned in SEBI Circular no. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated January 25, 2022 below for crediting the securities to the holder/claimant in case of the following service request. 1. Issue of duplicate securities certificate 2. Claim from Unclaimed Suspense Account 3. Renewal / Exchange of securities certificate 4. Endorsement 5. Sub-division / Splitting of securities certificate 6. Consolidation of securities certificates/folios 7. Transmission 8. Transposition i. RTA shall obtain the physical shares and in case of point nos. 3 to 8 the for processing of service request and intimate to the the investor . ii. Thereafter verify the service request and issue a "Letter of Confirmation" iii. Confirmation letter should have the name and PAN all of the holder/s mentioned on it and as per the format provided. iv. This letter shall be sent through Registered / Speed Post or through email with a digitally signed letter. v. RTA shall send reminder letter at the end of 45 days and 90 days from

		the date of Issuance of Confirmation Letter vi. RTA shall ensure that the investor submits the demat request, within 120 days i.e. from the date as mentioned in the issue of Letter of Confirmation, to Depository participant (**DP**) along with the Letter of Confirmation 1,7,1 The Issuer/RTA, on receipt of confirmation letter and Demat Request Form (DRF) from DP, shall capture the date of receipt of the same against the DRN in the front-end system and will confirm to CDSL electronically through its front-end system. or by way of upload 1.7.2 RTA shall verify and process the demat request procedure as mentioned in Operating Instructions 1.4 above, apart from the certificate mutilation procedure , since there will not be any certificates in this case 1.7.3 In case of non-receipt of demat request from the investor within 120 days of the date of Letter of Confirmation, the shares should be credited to Suspense Escrow Account of the Company. 1.7.4 In case the investor submits the necessary details of the demat account to the Issuer /RTA . Issuer / RTA will verify the documents as required by the Issuer / RTA to confirm it is the claimant is same BO and will submit the necessary corporate action document for debiting the Escrow account of the respective issuer and Crediting the BO account.