



Upsurge Investment & Finance Ltd.

Dear Shareholder,

Sub: Final Reminder-Mandatory furnishing/ updating of PAN, KYC details and Nomination by holders of physical securities (Equity Shares)

SEBI Circular:

The SEBI, vide its Circular dated November 03, 2021, read with Circular dated December 14, 2021, with subject 'Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination' ('SEBI Circular'), has mandated the following for shareholders holding shares in physical form:

- a. Furnishing of PAN, email address, mobile number, bank account details and nomination.
- b. Compulsory linking of PAN and AADHAR by all shareholders by June 30, 2023 or any other date as may be specified by the Central Board of Direct Taxes.

Consequences of Non Updation of Details:

Kindly note that any service request shall be entertained only upon registration of the PAN, Bank details and the nomination as mentioned above. Non-updation of the KYC details will lead to freezing of your folio.

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.

We observe from our records that you have not furnished some of the mandatory documents/details as per our records.

In the above-mentioned circulars, SEBI had stipulated that if the shareholders, holding shares in physical mode do not update their PAN, KYC and Nomination details or all of these details are not made available to the Company /their Registrar and Share Transfer Agents (RTA) then such folios shall be frozen by RTA on or after 01st October, 2023.

KYC Updation Instructions:

Therefore, you are once again requested to comply with the following procedure to avoid any freezing of folios:-

1. For PAN/Bank Details/Mobile No. /Email ID/Address updation in Form ISR-1.
2. For Nomination details in Form SH-13 and in case In case you do not wish to nominate any person with whom shall vest, all the rights in respect of such shares in the event of your death, you are requested to file Declaration to Opt-out', in Form ISR-3. If you want to change / cancel the existing nomination, then submit Form SH-14 for change in the nomination details.
3. For Registering / Updation of the signature in the Company/RTA records, then submit Form ISR-2 duly verified by your Bank.



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Action to be taken:

1. Request you to fill and sign the enclosed forms ISR-1, ISR-2, SH-13/ISR-3 and return the same along with required duly signed documents at the address given below:
Adroit Corporate Services Private Limited
18-20 Jafferbhoy Industrial Estate, Makwana Road, Marol Naka, Andheri East, Mumbai 400059
2. Linking of your PAN with AADHAAR to avoid freezing of Folio.
3. Further, SEBI has mandated that transfer of securities held in physical form shall not be processed unless the same are held in dematerialized form with a depository. You are requested to kindly dematerialize your shares.

The relevant formats for Updation of KYC and Nomination details along with SEBI circular have been uploaded in our website at URL: <https://www.adroitcorporate.com/RandTServices.aspx>; Thus, we request you to furnish the details/documents **at the earliest.**