



Offer Letter by **SAG RTA**



Acceptance of **SAG RTA's**  
Offer by company



**SAG RTA's** Annual  
Payment (In advance)



### **Obtaining NSDL ISIN (International Securities Identification Number)**

1. Letter of intent cum Master Creation Form (MCF)\_ PART- 1 & PART-2 on the letterhead of the company – sign and stamp on all pages
2. Board Resolution with specimen signatures
3. ROC(Registrar of Companies) Form and Challan and net worth certificate
4. GST Registration certificate/ARN (Application Reference Number) Acknowledgment
5. Confirmation letter from SAG RTA for common registry
6. Tri-partite agreement
7. Joining fee emailer from NSDL and payment of fees (Registration and ACF)

### **Obtaining CDSL ISIN (International Securities Identification Number)**

1. Letter of intent cum Master Creation Form (MCF)\_ PART-A & PART-B on the letterhead of the company - sign and stamp on all pages
2. Board Resolution with specimen signature
3. ROC(Registrar of Companies) Form and Challan along with the net worth certificate
4. GST Registration certificate/ARN(Application Reference Number) Acknowledgment
5. Tri-partite agreement
6. Letter for freezing/unfreezing of securities – Applicable in case of Private Limited Company
7. Soft copy of security details in the prescribed format (Equity / Preference Shares)
8. Joining fees

### **SAG RTA - Agreement/Shareholding Pattern/GST information**

1. Company to share GST / Register Of Members (ROM) details to SAG RTA
2. Franking and Signing of SAG RTA agreement

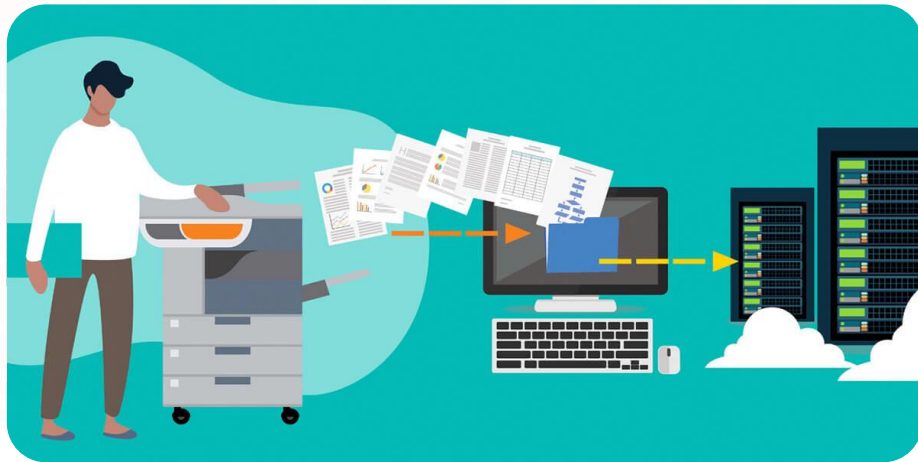
### **Dematerialisation and Corporate Action (Process After Activation of ISIN)**

1. Dematerialisation of shares
2. Corporate Action for further capital allocated (Post ISIN Activation)

# ISIN CREATION AND DEMATERIALIZATION PROCEDURE

## STEP 1

*All the shareholders or shareholders seek to dematerialize their shares by securing the Demat account with the depository to which you are proposing to take ISIN. For example, if you take an ISIN with CDSL, then the shareholders will have to have a CDSL demat account. The same is the case in NSDL as well.*



## STEP 2

- *Selection of depository (either NSDL/CDSL) or both depositories to take the (ISIN).*
- *Performing the board meeting and passing the resolution.*
- *Appointment of SAG RTA as Registrar and Share Transfer Agent.*
- *Yearly fees for the maintenance via the company to SAG RTA in advance every year.*
- *Recognizing the company's shares with the depositories.*
- *Submissions of shareholders (ROM Data) along with the GST data via company to SAG RTA under the format provided via SAG RTA.*

## STEP 3

- *SAG RTA would send a soft copy of the agreement to the company for scrutiny.*
- *In the event that the company is satisfied with the agreement, then the issuer company will frank the agreement, and the signatory will sign it and then forward it to the SAG RTA for signature.*
- *An agreement would be signed by the SAG RTA and then sent to the depository (CDSL/NSDL).*

## STEP 4

### **The Flow of Process- NSDL/CDSL- Take The ISIN Number**

- The company is to share the MCF soft copy over the e-mail to SAG RTA's local coordinators for the initial checks.
- The submission of the duly signed master creation form (MCF), signed Tripartite agreement, and the additional documents under CDSL/NSDL checklist.
- SAG RTA would submit the same to the National Securities Depository Limited/Central Depository Services (India) Limited.
- **NSDL Tripartite agreement:** NSDL would merely share the stamped agreements with the customers.

### **Depository Fees**

- NSDL fees would be paid on the receipt of joining the email confirmation via NSDL.
- CDSL fees would be paid through the CDSL issuer portal after finalization of the documents. (Paid only via Net banking)

### **NSDL Document Scrutiny**

- When all documents would be correct- NSDL would send a joining email to a company as well as SAG RTA for the confirmation and the correctness of the information which has been submitted and furnishes the fees list which must be paid.
- For the case of any issues in the documents-NSDL (National Securities Depository Limited) furnishes the intimation and needs the digitally signed copies of the documents for further processing by email.
- Upon verification of the Tripartite Agreement, NSDL would allot/generate the ISIN in 2 to 3 working days and that would be told to the SAG RTA.
- NSDL/CDSL-The documents and checklist. (Refer link: <https://rta.saginfortech.com/operations>)

### **Scrutinisation of the CDSL Document**

- When the document would be correct: CDSL (Central Depository Services (India) Limited) would activate the ISIN and would provide that to the SAG RTA along with the company.
- When there are issues with the documents, an intimation will be sent by CDSL to the company that requires the digitally signed copies of the documents for further processing by email.



## STEP 5

### **Share Dematerialization**

- After the activation of the ISIN in the CDSL/NSDL, the registered shareholder will submit the duly signed dematerialization request form (DRF) available with the corresponding Depository participant (DP) including the original processing.
- Demat requests are processed by DP and sent to the issuer company for further processing. The issuer company submits documents with declarations to SAG RTA.

## STEP 6

### **Measures of the Corporates**

A company that provides capital post-ISIN activation is required to submit the corporate actions to NSDL/CDSL (where the ISIN would be accepted) so as to surge the increased paid-up capital in NSDL/CSDL.

# ONE TIME CONNECTIVITY FEE & ANNUAL CUSTODY FEE FOR NSDL / CDSL

- An issuer would furnish the yearly custody fee with the rate of Rs 11 per folio (ISIN position) in NSDL/CDSL, as per a minimum amount specified below including applicable taxes.
- The issuer of unlisted securities pays a joining fee of Rs. 15,000 along with the taxes and the issuer of the listed securities would pay the joining of Rs 20000 along with the taxes with the rate applicable during the time of joining NSDL for the intention of making its shares that are available for dematerialisation.

## FEES @ NSDL and CDSL

Issued and Paid up Capital (No.of Shares*Face Value)	One time connectivity for NSDL/CDSL	Annual Custody fee for NSDL/CDSL
Up to 2.5 crore	Rs.15,000 + GST (18%)	Rs.5,000+ GST (18%)
Above 2.5 crore and upto 5 crore		Rs.9,000+ GST (18%)
Above 5 crore and upto 10 crore		Rs.22,500+ GST (18%)
Above 10 crore and upto 20 crore		Rs.45,000+ GST (18%)
Above 20 crore		Rs.75,000+ GST (18%)

- Annual Custody Fee at the rate of Rs.11/- per folio (ISIN position) subject to a minimum amount as mentioned above.
- Security Deposit (2 years of applicable Annual Custody Fees) – applicable for only Unlisted Public Limited Companies.



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**Timing** : 10:00 AM 7:00 PM (Mon-Fri)  
10:00 AM 5:00 PM (Sat)