

ISSUE OF DUPLICATE CERTIFICATES

Read carefully the instructions before filling in the enclosures

Note :- Photocopy of these forms will not be accepted.

The enclosures are :

QUESTIONNAIRE FORM	...	'Q'
AFFIDAVIT	...	'A'
LETTER OF INDEMNITY	...	'I'
SURETY FORM	...	'S'

Sequence of steps to be followed :

1) **Affix SPECIAL ADHESIVE STAMPS OF**

-Rs. 100/- on Affidavit - 'A'

-Rs. 500/- on Indemnity - 'I'

before signing these forms (Refer item 'J' below).

- 2) Fill in answers posed in Questionnaire Form - 'Q', giving details in full.
- 3) Fill in Affidavit - 'A', but do not sign now (refer 8).
- 4) Arrange for person to stand as Surety.
- 5) Fill in Form of Surety - 'S' and get his/her signature on the form attested by Bank Manager/Notary Public.
- 6) Fill in Indemnity - 'I', but do not sign now (refer 8).
- 7) Recheck that all documents are completely filled.
- 8) Arrange for Applicant/s and proposed Surety to sign on Indemnity in presence of a First Class or Judicial / Stipendiary Magistrate / Public Notary.
- 9) Submit together all duly completed documents to us.
- 10) Signature required on all documents.
- 11) Corrections/Alterations/Cancellations, if any, should be authenticated.
- 12) Arrange for applicant(s) to sign on affidavit in presence of first class or judicial / stipendiary magistrate / public Notary

SPECIAL INSTRUCTIONS

QUESTION FORM - 'Q'

- a) All application forms for issue of duplicate certificate/s must be signed by the person/s whose name/s are presently registered with the bank as holder/s of security/ies.
- b) Where the loss does not pertain to the entire holding in the Ledger Folio, kindly quote the Distinctive Numbers of certificate/s in your possession to enable the Registrars to determine and convey to you the distinctive numbers of the lost certificate/s.
- c) In case certificate/s is/are lost together with duly signed/executed transfer deed/s, the Bank may undertake to issue duplicate certificate/s only after lost transfer deeds have become time-barred.
- d) In case certificate/s stand in sole name of a deceased holder, the heir(s) must establish his/her title to the security/ies on production of Succession Documents before procedure for issue of duplicate is undertaken.
- e) In case certificate/s are lost by transferee with signed transfer deed/s before lodgement/registration in name of the transferee then the applicant will have to furnish contract Note, etc., to substantiate the purchase of the Security/ies.

AFFIDAVIT - 'A' & INDEMNITY - 'I'

- f) Affidavit/Indemnity may be affixed with Special Adhesive Stamps or the text may be reproduced on Non-Judicial Stamp Paper of denomination/s given in 1 above.
- g) Signature/s must be attested only by a First Class or Stipendiary Magistrate/Notary Public.
- h) Full name/Address (and Regn. No.) of the Official must be mentioned.
- i) Indemnity must be signed by applicant/s as well as surety duly attested by Notary Public.
- j) Special Adhesive Stamps, if affixed, must be cancelled by the Issuing Authority.
- k) Self attested copy of address proof of applicant in the form of latest electricity bill / telephone bill.

SURETY FORM - 'S'

- l) The financial Standing of the proposed Surety must be good enough for the amount involved to the market value of the shares.
- m) Surety form must also be signed by Bank Manager/Notary Public in affirmation of the details mentioned therein.
- n) Surety on the indemnity and surety form must be one and the same individual.
- o) Surety must sign to his/her individual capacity.
- p) Kindly arranged to forward us income proof of surety duly attested by employer & also self attested by surety in the Form of Salary Slip / Tax Return / Form 16 A. / Documentary Proof towards the ownership & valuation of the property as mentioned in the surety form.
- q) Please forward us self attested copy of pan card of surety & applicant(s).
- r) A person cannot stand as surety for spouse / Family member.

QUESTIONNAIRE FORM

"Q"

Form to be filled in by the applicant(s) for **ISSUE OF DUPLICATE CERTIFICATE(S)**

In respect of security/ies for which original certificate(s) is/are lost.

STATE BANK OF INDIA

1)	Full name of the holder and joint holder(s), if any. (Fill in indetical order)	R/Folio		
2)	Number and kind of security/ies held by the holder(s) for which duplicate certificate(s) is/are being sought.	No. of security/ies (in figure)		Kind of security/ies
3)	Distinctive number of the security/ies in respect of which certificate(s) is/are lost. (must tally with no. given in term 2) Attach annexure if space is insufficient.	Distinctive Nos. From	Distinctive Nos. To	Certificate Nos.
4)	When and how did the holder(s) acquire the security/ies in respect of which certificate(s) is/are lost?			
5)	When were the certificate(s) lost or found to be missing?			
6)	Full statement of the circumstances regarding loss of the above certificate(s)			
7)	Where any signed transfer form(s) accompanying the lost certificate(s)? If so, give full particulars of the transaction.	IF ANSWER IS 'YES' attested copy of FIR / COURT ORDER is required. Court Order to be obtained for restraining Bank from transferring the securities.		
8)	Whether these security/ies sold/ mortgaged / pledged or otherwise disposed of either by the holder/ applicant or by any other person? If so give full particulars of transactions.	In case answer to '7' above is YES, Attach document(s) in support of your statement		
9)	Was dilligent search made for the missing certificate(s)?			
10)	If the Bank is prepared to issue duplicate certificate(s), is/are the applicant(s) prepared to fulfill the conditions preliminary to the issue of duplicate certificate(s) viz. (a) advertisement in newspaper (b) execution of indemnity with approved surety/ies.	For Office use Only		
		Signature checked by		

Address of Applicant :

PIN

Signature(s) of the applicant(s)

LETTER OF INDEMNITY

(Please affix special adhesive stamp of Rs. 500/- before execution and get attested by the Notary Public or First-class Magistrate. Further, strike out, whichever is not applicable)

To,
State Bank of India,
Having its Corporate Centre at
State Bank Bhavan,
Madame Cama Road,
Mumbai 400 021.

WHEREAS

- 1) I/WE _____ Name(s) of holder(s)/applicant (s) _____, having address as _____, am/ are the registered holder of _____ shares (as detailed under) in SBI a body corporate incorporated under the State Bank of India Act, 1955 (hereinafter called the Bank);

Folio No.	Certificate No	Distinctive No	
		From	To

- 2) (A) AND WHEREAS I/We have been given to understand that the Bank in terms of State Bank of India (Amendment) Ordinance, 1993, has provided the sub-divided shares of the face value of Rs. 10/- each against the old shares of the face value of Rs. 100/- each, to its investors on surrender of the old share certificates for the shares of Rs. 100/- each, by the investors to the Bank.

OR

(B) AND WHEREAS I/We have been given to understand that the Bank in terms of notification dated 28.10.2014, published in the Gazette of India dated 05.11.2014, has provided the sub-divided shares of face value of Rs. 1/- (new share certificate) each against these old shares of the face value of Rs. 10/- each, to its investors of the old share certificates for the shares of Rs. 10/- each and that the equity share certificate, issued by the bank, bearing face value of Rs.10 has ceased to be valid with effect from 22nd November 2014 and that the bank has advised to destroy the old certificate(s) of the face value of Rs. 10/-, on receipt of sub-divided new share certificate after verifying and ensuring correctness of details therein and that the Bank and its Registrar and Transfer Agent(RTA) shall not, in any manner, be responsible for any loss/harm that may arise out of any transaction/misuse based on the old share certificate(s) of Rs.10 each, if any, retained by me/us on receipt of new share certificate of face value of Rs. 1/- .

- 3) AND WHEREAS the original share certificate of the said Shares / Securities issued to me/us and in my possession under folio No. _____ has / have been lost mislaid and the same cannot be found by me/us even after diligent search being made by me/us in this regard and that I/We have filed a police complaint towards the misplacement of the same to my/our local police station vide G.D. Complaint dated _____, an acknowledged copy of which is enclosed herewith;
- 4) AND WHEREAS I/We further say that since the share certificates mentioned above has/have been lost by me/us and that I/We and/or any of my/our family members have not sold, pledged or dealt with the said share certificate issued to me/us under folio No. _____ in any way nor have we created any third party rights on the said share certificate(s)

5) AND WHEREAS being desirous to obtain the share certificate towards the Sub divided shares i.e. for ____ shares under the Folio No. _____ issued by the bank for these ____ old shares originally allotted in my/our name, I/we have applied to the Bank for issuance of sub divided ____ shares bearing folio No. _____ standing in my/ our name as per share master records of the Bank without insisting for the production/surrender of original old share certificate of face value of Rs.100 / share certificate of face value of Rs.10 on the terms and conditions of the bank as stated under point No. 2(B) above

6) Now in consideration of the Bank acceding to my/ our request for issuing such replaced certificate (s) to us based on my/our aforesaid representations & submissions,

a) I/WE the applicants i.e. _____ and the Surety Mr./Ms. _____, herein for ourselves, our respective heirs, executors and administrator do hereby jointly and severally covenant with the Bank, its successors and assigns that we and our heirs, executors and administrator respectively will at all times and from time to time save, defend and keep harmless and indemnified the Bank, its successors and assigns and the Directors and officers thereof and their respective heirs, executors and administrators and their and their and each of their estates and effects from and against all actions, causes, suits proceedings, accounts, claims and demands whatsoever on account of the said security/ ies or any of them or the loss or non-production of certificate(s) thereof on the part of any person or person (s) whomsoever and against all damages, costs, charges, expenses and sums of money incurred in respect thereof or otherwise in relation to the premises and I/We the said applicants i.e.

_____ and the surety Shri/Smt. _____, named herein, undertake on demand by the Bank to return and re-deliver such sub-divided shares/ share certificate (s) and without such demand to produce and return to the Bank the original certificate (s) when found or traced and to take all actions, suits and proceedings at our own cost as the Bank shall require for the recovery thereof or otherwise in relation to the premises.

b) AND I/we, the applicant/s _____, do hereby further irrevocably undertake to return and redeliver the aforesaid old certificate of face value Rs. 100 under folio No. _____ for cancellation to Bank and/or its registrars/ destroy the old share certificate of face values of Rs.10, as and when found or traced out .

c) AND that We, the applicant _____ and _____ the surety, do hereby irrevocably and unconditionally undertake jointly and severally, on demand by the Bank, to return and redeliver such sub-divided shares for ____ shares issued to me /us in my /our name or to pay the value thereof with the value of all the dividends paid thereon to me, if at any time after the issuance of sub divided shares to me/us, the original share certificate is produced by any person/ party or entity to the Bank and/or its Registrars for transfer or claiming title thereto and to take all actions, suits and proceedings at our own cost as the Bank shall require for the recovery thereof or otherwise in relation to the premises.

IN WITNESS WHEREOF we, the said applicant/s _____ and the Surety Shri _____ have here unto set our respective hands on this Indemnity on this ____ day of _____, 20--.

Identified by me/us : _____
Holder(s)/ Applicant(s)

Before me: _____
Surety

SURETY FORM

“S”

(Form to be signed by Surety proposed for indemnity Agreement)

Private & Confidential

NAME OF SURETY (in full) _____
PERMANENT RESIDENTIAL ADDRESS : _____

_____ Pin _____

AGE : _____ years Permanent Account Number (PAN) _____

* A Person cannot stand as Surety for Spouse / family member

(Fill in any or more following boxes, whichever is applicable)

(A) Details of employment

(Furnish documentary evidence)

- 1) Name of employer : _____
- 2) Place of employment : _____
- 3) Annual Salary : _____
- 4) Other emoluments : _____

(B) Details of immovable property owned

(absolutely in own name and not as member of a joint & Hindu undivided family. Specify whether consisting of house or more lands) (Furnish documentary evidence)

- 1) Within Municipal Limits : _____
- 2) Situation : _____
- 3) Value : _____
- 4) Annual rent realized : _____

(C) Details of Business Owned

(absolutely in own name and not as a partner) (Furnish documentary evidence)

- 1) Nature of business and location _____
- 2) Annual turnover _____
- 3) Annual profits _____

(D) LIABILITIES, IF ANY, WITH DETAILS

(including existing and future liabilities)

Date : _____ 20 _____

Signature of Surety

Witnessed by :

Signed in presence of

Full Name and Address of Bank Manager / Notary Public

_____ Pin _____

(Bank Manager / Notary Public)

DRAFT LETTER FOR POLICE COMPLAINT

From :

Date: ____ / ____ / ____

The Police Officer In Charge

Dear Sir,

This is to bring to your kind attention that I am the registered holder for _____ Equity Shares / Bonds of State Bank of India issued to me vide ledger folio no _____; Share / Bond Certificate No/s. _____; Distinctive nos _____

The said Share / Bond Certificate/s has / have been lost / misplaced / stolen on _____ at home / during travelling / _____.

I have applied for Duplicate certificate/s to the state Bank of India and for which as per SEBI guidelines clause 109 (a), I have been requested to provide them with the acknowledge copy of police complaint for Lost / Misplaced / Stolen Original Share / Bond Certificates/s.

As such, it is requested that this complaint for Lost / Misplaced / Stolen Original Share / Bond Certificate/s may be registered in your general diary and I may be provided with the acknowledged copy of the said complaint to take up the matter with State Bank of India for issuance of Duplicate Share / Bond Certificate/s.

Thanking you,

Yours faithfully,

Signature OIC, PS
Seal and stamp of
Police station.