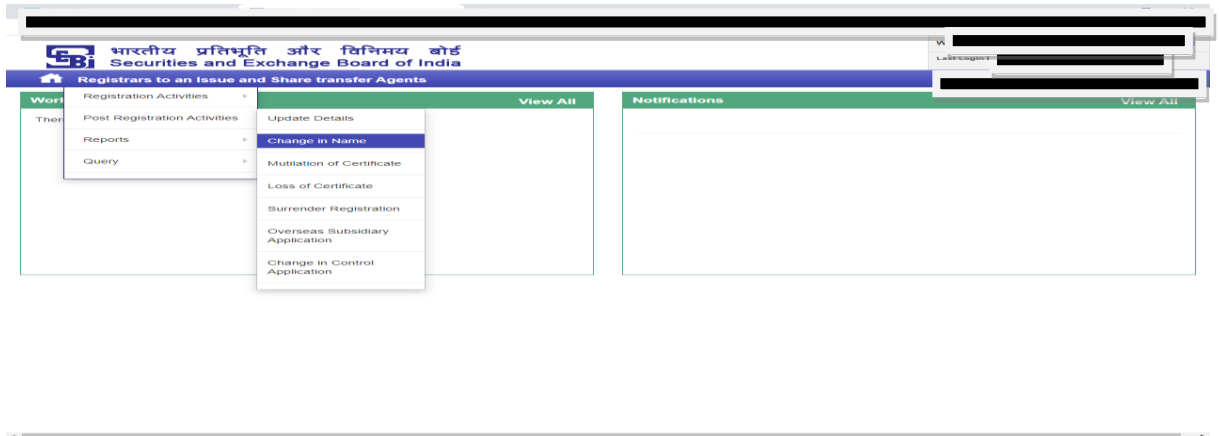


CHANGE IN NAME AND ADDRESS- FAQs

1. I have recently undergone a change in name. How should I intimate SEBI to get a new certificate?

Kindly log in to the SI Portal. In the post registration activities, select application type 'Change in Name'. New certificate is issued only in case of change in name. There is no new certificate issued in case of change of address.



2. Change in name of my company is pursuant to change in control. Can I make an application for all in the 'Change in Name' application?

In case, the intermediary has already taken prior approval for change in control and name is changed thereafter but before obtaining fresh registration, then intermediary is required to first apply for fresh registration in compliance of SEBI prior approval letter, thereafter change in name application has to be submitted.

3. What are the documents required for 'Change in Name?'

The following documents are required for processing change in name application:

- a. Original SEBI certificate of registration.
- b. Letter of Intimation stating reasons for change in name.
- c. Certified copy of the Resolution passed in the meeting of the Board of the Directors of the Company resolving the change in name.
- d. PAN Card in the new name.
- e. Fresh Certificate of Incorporation consequent on change in name issued by the ROC.
- f. Pre-name change and post-name change shareholding

4. I have lost the original certificate of registration. How do I make an application for change in name then?

If the original certificate of registration is misplaced, the applicant in addition to the documents as mentioned in question 3, needs to submit a true copy of the FIR and an affidavit cum undertaking that the applicant is not in possession of the original certificate of registration. The undertaking should also contain a clause that if the original certificate is found at a later date, it needs to be submitted.

In case you are a Banker to an Issue, Debenture Trustee and a Credit Rating Agency, the application for change in registered office has to be made through the Change in Name and Address application. Kindly refer to the Update Details - FAQs for documents required for Change in Address.

In case you are a Merchant Banker, Underwriter, Registrar to an Issue, the application for change in registered office has to be made through the Update Details section.