

Update Details - FAQs

1. I have a change in the data provided at the time of registration (including but limited to Directors, KMPs, Compliance Officer, change of address-principal place of business, correspondence address, change in shareholding not amounting to change of control, NISM certifications undertaken, changes in email id for regulatory communication or investor grievance etc). How do I intimate SEBI?

Kindly login to the SEBI Intermediary Portal (SI Portal). In the post registration activities, choose the application type 'Update Details' and make the required changes in the Portal (Screen shot attached for change in address)

The screenshot shows a web browser window with the URL <https://122.15.216.114/intermediary/Registration.html?action=updateForm>. The page title is "Update of Information".

Update of Information

Name of Applicant: [Redacted] **Role:** Merchant Bankers **Application No.:** [Redacted]
(formerly [Redacted])

Registration No.: [Redacted] **Registration Start Date:** 16/07/2007 **Registration End Date:** 15/07/2010

Applicant Details > **Address Details / पते का विवरण**

Registered Office Address* / सौंपितकृत अडरस आ पते

Address Line 1: [Redacted] Address Line 2: 2ND FLOOR, DR. D.N. ROAD

Country: INDIA State: MAHARASHTRA

District: MUMBAI City: MUMBAI

Pincode: 400001 Telephone: [Redacted]

Telex: [Redacted] Mobile: [Redacted]

Fax: [Redacted] Email: info@centrum.co.in

Save Cancel

Correspondence Address* / संप-संवरण आ पते

Address - Principal Place of Business* / अडरस आ के मुकल सलत आ पते

Branch Office Address / सलत अडरस आ पते

2. What are the documents required for 'Change in Address?'

The following documents are required for processing of change in address application:

- a) Certified copy of the Resolution passed in the in the meeting of the Board of the Directors of the Company resolving the change of address. In case of LLPs, certified copy of the resolution of the partners of LLP
- b) Form filed for change of address with R.O.C

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.

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. Please refer to the Change in name and Address FAQs.

3. I have informed about the changes in the half-yearly reports submitted. Can that be considered in lieu of the above mentioned application?

No, you are required to make the application in the portal for 'Update details' despite having informed the changes in the half-yearly reports.

4. I have sent a letter to MIRSD informing about the changes. Can I consider myself compliant?

The online registration mechanism for securities market intermediaries has been operationalized and communicated to all market intermediaries vide Circular dated May 02, 2017. In terms of Para 6 of the Circular, all intermediaries are required to submit online application for requests for change in details, only through the SI Portal. Only applications in respect of stock brokers and depository participants are to be made through the stock exchanges and depositories respectively.

Any change post registration, except name change and change in shareholding resulting in change in control, is to be updated online in the SI Portal using the 'Update Details' tab.

Update entire demographic details in SI portal forthwith. Demographic would illustratively include and not restricted to

- a) Correspondence Office address
- b) Principal place of business
- c) Names, phone numbers, email ID of directors and Key Managerial Personnel (KMP)
- d) Names, phone numbers, email ID of compliance officer
- e) Name , phone numbers, email ID of the contact person

5. Is there any particular format for email ids of my KMPs?

Yes. The Email IDs provided in the portal shall not be public email like gmail, yahoo etc. The email ID shall be of the intermediary's domain name. Ex: All the email IDs provided by PQZ Registrar and Share Transfer Agent in the portal, shall be xxxxxx@pqz.com etc.

Email IDs being provided have to be generic and not person specific. Ex. If Vinod Sharma is the compliance officer of ABC Merchant banker, the email ID of this compliance officer shall be compliance@abc.com etc.

6. In how much time should the application for updating the details be filed on SI Portal?

The application for update details should be filed on a real time basis but not later than 7 days from the date of changes being effective.

7. What if I do not update the details w.r.t changes on SI Portal?

In case you fail to update the SI Portal with the changes, you would be liable for enforcement action by SEBI as deemed fit.

For change in name, please refer to Change in Name and Address- FAQs.

For change in shareholding resulting in change in control, please refer to Prior Approval – FAQs.