

Annexure XIII

Name of the IPO _____
 Banker to the Issue _____
 Registrar to the Issue _____

APPLICATION FOR RELEASE OF PROCESSING FEE TO BE MADE BY SCSB TO THE MERCHANT BANKERS NOT LATER THAN 30 DAYS FROM THE FINALIZATION OF BASIS OF ALLOTMENT (T+2) BY REGISTRAR TO THE ISSUE.

Note: In order to claim the processing fee, all SCSBs are required to submit to the Merchant Bankers, with a copy to Registrar to the Issue, an application as per the format provided hereunder (complete with requisite information mentioned herein) not later than 30 days from T+3.

Format of application to be submitted by an SCSB to Merchant Bankers for release of Processing Fee payable to the SCSB.

1. We, **[Name of the Bank]**, hold a valid certificate of registration as a Banker to an Issue under the SEBI (Bankers to an Issue) Regulations, 1994. Our SEBI registration number is _____ valid up to _____.
2. We hereby submit our application for release of the processing fee payable to us amounting to Rs. _____. We attach the workings relating to the aforementioned estimate of processing fee/ selling commission.
3. We confirm that all unblocking of ASBA application amounts at our end is fully completed. We have enclosed a data file of all ASBA applications unblocked by us in the format specified below:

S. No.	Issuer Name	Applicant Name	Application No.	Mode of ASBA application submission (Bank, Online, UPI (online), UPI (offline, if any) – as provided by RTI)	Unblocking Amount (Rs.)	Date of T+2 (in DD/MM/Y YYYY format)	Date of Actual Unblock (DD/MM/Y YYYY)

4. We further confirm that we have paid all applicable compensation relating to investor complaints in terms of the requirements of applicable SEBI circulars. We have enclosed a data file of all ASBA applications for which we have paid applicable compensation in the format specified below:
 - Format A: Compensation for delayed unblock for cancelled/ withdrawn/ deleted applications (Refer to **Schedule I**) [Enter 'Nil' if not applicable]
 - Format B: Compensation for blocking of multiple amounts for the same UPI Application (Refer to **Schedule II**) [Enter 'Nil' if not applicable]

- Format C: Compensation for blocking more amount than the application amount (Refer to **Schedule III**) [Enter 'Nil' if not applicable]
 - Format D: Compensation for delayed unblock for non-allotted/ partially-allotted applications (Refer to **Schedule IV**) [Enter 'Nil' if not applicable]
5. We undertake to provide requisite information/ explanations that maybe requested by the Merchant Bankers/ Registrar to the Issue/ Issuer in connection with the information provided by us in this application.
6. We acknowledge that we will continue to be responsible to provide information requested by the Merchant Bankers/ Registrar to the Issue/ Issuer and also remain liable to pay applicable compensation, for delays in unblocking of application amounts after the processing fee has been claimed by us for this issue. We are responsible for any investor grievances/ complaints pertaining to blocking/ unblocking of application amounts while discharging our role as envisaged in the ASBA facility.

Authorized / Nodal official of the SCSB

- Name –
- Designation –
- Mobile Number –
- Email Id –
- Contact Address –

Signature & Stamp of the Authorized/ Nodal official.

Schedule I – Format for provision of information on compensation for delayed unblock for cancelled/ withdrawn/ deleted applications

S.No.	Issuer Name	Applicant Name	Application No.	Mode of ASBA application submission (Bank, Online, UPI (online), UPI (offline, if any) – as provided by RTI)	Application Amount (Rs.)	Date of receipt of complaint (DD/MM/YYYY)	Date on which request for cancellation/ withdrawal/ deletion is placed in Stock Exchanges Bidding Platform (DD/MM/YYYY)	Date of Actual Unblock (DD/MM/YYYY)	Compensation paid by SCSB (Rs.)	Date of payment of Compensation by SCSB (DD/MM/YYYY)	Mode of payment of Compensation (direct credit/ IMPS/ RTGS/ NEFT etc.)

Schedule II - Format for provision of information on compensation for blocking of multiple amounts for the same UPI Application

S.No.	Issuer Name	Applicant Name	Application No.	Mode of ASBA application submission (Bank, Online, UPI (online), UPI (offline, if any) – as provided by RTI)	Total cumulative blocked amount less the original application amount (Rs.)	Date of receipt of complaint (DD/MM/YYYY)	Date on which multiple amounts were blocked (DD/MM/YYYY)	Date of Actual Unblock (DD/MM/YYYY)	Compensation paid by SCSB (Rs.)	Date of payment of Compensation by SCSB (DD/MM/YYYY)	Mode of payment of Compensation (direct credit/ IMPS/ RTGS/ NEFT etc.)

Schedule III - Format for provision of information on compensation for blocking more amount than the application amount

S.No.	Issuer Name	Applicant Name	Application No.	Mode of ASBA application submission (Bank, Online, UPI (online), UPI (offline, if any) – as provided by RTI)	Blocked Amount less Application Amount (Rs.)	Date of receipt of complaint (DD/MM/YYYY)	Date on which the funds to the excess of application amount were blocked (DD/MM/YYYY)	Date of Actual Unblock (DD/MM/YYYY)	Compensation paid by SCSB (Rs.)	Date of payment of Compensation by SCSB (DD/MM/YYYY)	Mode of payment of Compensation (direct credit/ IMPS/ RTGS/ NEFT etc.)

Schedule IV - Format for provision of information on compensation for delayed unblock for non-allotted/ partially-allotted applications

S.No.	Issuer Name	Applicant Name	Application No.	Mode of ASBA application submission (Bank, Online, UPI (online), UPI (offline, if any) – as provided by RTI)	Application Amount (Rs.)	Date of receipt of complaint (DD/MM/YYYY)	Date of T+2 (DD/MM/YYYY)	Date of Actual Unblock (DD/MM/YYYY)	Compensation paid by SCSB (Rs.)	Date of payment of Compensation by SCSB (DD/MM/YYYY)	Mode of payment of Compensation (direct credit/ IMPS/ RTGS/ NEFT etc.)