

Annexure-2

**Transmission Request Form-cum-Undertaking for Quick Transmission
Processing (QTP)**

Where No Nominee is Registered

(To be submitted on Plain Paper)

Tick (☐→☒) the boxes wherever applicable and fill in the details legibly.

To:

Date: mm, dd, yyyy

<Company Name>/<Fund Name>/RTA Name/DP>

<Address>

<City> - <Pincode>

PART A – CLAIMANT AND DECEASED HOLDER INFORMATION

DP ID - Client ID / Folio No.	
Deceased Holder Name:	
Claimant Name	
Claimant PAN / PEKRN (Mention only number)	
Category of Claimant	☐ Parent ☐ Spouse ☐ Child ☐ Parent-in-law
Documentary Proof attached (Refer Annexure - A for the documents list)	

PART B – TRANSMISSION REQUEST FORM

I, the claimant named hereinabove, hereby inform you about the demise of the above-mentioned security/unit holder(s) and request you to transmit the securities/units held by the deceased security/unit holder(s) in my favor in my capacity as ☐ Legal Heir ☐ Successor to the Estate of the deceased ☐ Administrator of the Estate of the deceased

PART C – UNDERTAKING

I/We _____, legal heir(s) of Late Mr./Ms. _____ ("Name of the Deceased Holder"), residing at _____do hereby state and undertake as under:

1. The deceased holder held the following securities / MF unit holdings in his/her name as sole/single holder:

S. No.	Company / Fund Name with Scheme Name	Folio No. / DP-Client ID	No. of Securities / Units / Shares Held	Certificate Number (for physical shares / securities)	Distinctive Numbers (for physical shares / securities)
1					From: To:
2					From: To:
3					From: To:

2. Above referred deceased holder died without registering any nominee.
3. That I/We are the legal heir(s) of the deceased as per the details in the below table and that we are the only legal heirs/legatees of the deceased holder.

Name of the Legal Heir(s)*	Age	Relationship with the deceased

* Where any legal heir is a minor, such minor is represented herein by his/her natural/legal guardian.

Therefore, I/We, the Legal Heir(s)/Claimant(s), have approached _____ (Name of the Company / AMC / RTA / DP / Depository) with a request to transmit the aforesaid securities in the name of the

undersigned, Mr./Ms. _____

[Name(s) of the legal heir(s)/claimant(s)], on my/our behalf. I/We, am/are furnishing the documents as mentioned below for transmission of the securities in our name:

S. No.	Document	Submitted	Remarks
1	Original Transmission Request Form (duly filled and signed)	☐	
2	Self-attested copy of Latest Client Master List (CML) of claimants' demat account	☐	
3	Self-attested copy of Verifiable Death Certificate of the deceased holder	☐	
4	Original Security Certificate / Statement of Account (if applicable).	☐	
5	If claimant is a minor – Copy of Birth Certificate or School leaving certificate/ Passport or Aadhaar (where the date of birth is available) – Attested by the Guardian (Natural or Legal).	☐	
6	KYC of Guardian (if claimant is a minor or of unsound mind).	☐	
7	Relationship Proof (where claimant is spouse, child, parent or parent-in-law) or Affidavit as per Annexure-B.	☐	
8	Nomination Form or Nomination Opt-Out form	☐	
9	FATCA-CRS Declaration in a prescribed format, wherever applicable	☐	

S. No.	Document	Submitted	Remarks
10	Signature of the Nominee/ Claimant shall be attested only by a Notary Public or a Judicial Magistrate First Class (JMFC) in lieu of banker's attestation (applicable only for transmission of units held in SOA)	☐	

PART D – OTHER INFORMATION ABOUT CLAIMANT (Applicable only for transmission of units held in SOA)

☐ KYC Acknowledgment attached ☐ KYC form attached
Tax Status: ☐ Resident Individual ☐ Resident Minor (through Guardian) ☐ NRI ☐ PIO / OCI ☐ Others (please specify)

Contact details of the Claimant

Mobile No.	Tel. No. STD -
Email Address	
Above mobile belongs to: ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter	
Above email belongs to: ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter	

Address (Please note that address will be updated as per claimant's address on KYC form / KYC Registration Agency records)

Address Line 1		
Address Line 2		
City:	State	PIN

Bank Account Details of the Claimant

Bank Name	
Account No.	11-digit IFSC
A/c. Type (✓) ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR 9-digit MICR No.	
Name of bank branch	
City	PIN

Please attach & tick✓ ☐ Cancelled cheque with claimant's name printed **OR** ☐ Claimant's Bank Statement/Passbook

PART E – DECLARATION AND RESPONSIBILITY CLAUSE

I/We confirm that the above documents have been submitted and that the information, facts, and particulars furnished by me/us in this undertaking and the accompanying documents are true, correct, and complete to the best of my/our knowledge and belief, and no material information / fact has been concealed or misrepresented therein.

I/We further undertake and confirm that in the event any information, declaration, or document furnished by me/us herein is subsequently found to be false, incorrect, incomplete, forged, or fraudulent, the responsibility and liability for resolving the resultant discrepancy, dispute, or claim – including any consequential loss, cost, or legal action – shall rest solely and exclusively with me / us, the claimant(s), and I/We shall keep the Company/AMC/RTA/Depository Participant / Depository fully indemnified and harmless against any loss, claim, demand, or liability arising directly or indirectly therefrom. I/We also knowledge to share the above demise information to the regulatory authorities or statutory authorities or to the entities entrusted by the regulatory/statutory authorities from time to time for onward circulation/dissemination to all applicable regulated entities.

Claimant(s) Signature	
Place	Date

Note: Where any person required to sign this document is unable to sign, he/she may affix his/her left thumb impression in lieu of signature.

ANNEXURE-A: PROOF OF RELATIONSHIP

A self-attested copy of the proof of relationship as referred to above is enclosed herewith:

Tick against the document* given as proof of relationship
Birth certificate which lists the parent's name ☐
School leaving certificate ☐
School records/service records ☐

Passport ☐
 Marriage Certificate ☐
 Ration Card ☐
 Voter ID ☐
 Aadhar ☐
 Permanent Account Number ☐
 Will ☐
 Legal Heirship Certificate ☐
 Court Decree ☐
 Letter of Administration ☐
 Succession Certificate ☐
 Probate of Will (where available) ☐
***In case none of the above documents are available, a notarized Affidavit in the format given in Annexure-B.**

ANNEXURE-B: DRAFT OF THE AFFIDAVIT

To be executed on Non-Judicial Stamp Paper of appropriate value (as applicable in the relevant State where the claimant resides) and notarized / attested by a Gazetted Officer or Judicial Magistrate First Class (JMFC)

I/We, _____ Son / daughter/legal heir of
 _____ residing _____ at
 _____ do hereby solemnly
affirm and state on oath as follows.

That Mr. / Mrs. _____ ("Name of the Deceased Holder") held the following securities:

S. No.	Company / Fund Name with Scheme Name	Folio No. / DP-Client ID	No. of Securities / Units / Shares Held	Certificate Number (for physical shares / securities)	Distinctive Numbers (for physical shares / securities)
1					From: To:

S. No.	Company / Fund Name with Scheme Name	Folio No. / DP-Client ID	No. of Securities / Units / Shares Held	Certificate Number (for physical shares / securities)	Distinctive Numbers (for physical shares / securities)
2					From: To:
3					From: To:

That the aforesaid deceased holder died leaving behind the following persons as the legal heirs without registering any nominee:

S. No.	Name of the Legal Heir(s)	Address and contact details	Age	Relation with the Deceased
1				
2				
3				

That among the aforesaid legal heirs, Master/ Kumari. _____ aged ____ years is a minor and is being represented by Mr./Ms. _____ ("Name of the Guardian") being his / her father / mother / legal guardian.

Signature of the Deponent: X_____

Note: Where any person required to sign this document is unable to sign, he/she may affix his/her left thumb impression in lieu of signature.

VERIFICATION

I /We hereby solemnly affirm and state that what is stated herein above is true and correct and nothing has been concealed therein and that we I am competent to contract and entitled to rights and benefits of the abovementioned securities of the deceased.

Solemnly affirmed at _____ Signature of the Deponent: _____

Signed before me

Signature of Notary with Official Seal of Notary & Regn. No.

* ~~strikeout~~ whichever is not applicable

TRANSMISSION – DOCUMENT REQUIREMENTS

Document required from claimant (duly signed / executed)	CASES WHERE NOMINATION HAS BEEN MADE	JOINT HOLDERS CASES	CASES WHERE NO NOMINATION HAS BEEN MADE		
			Quick Transmission Processing (QTP) Holding up to Rs. 30,000 (Very Low Value Claim)	Simplified Processing – Holding more than Rs. 30,000 and less than or equal to Rs. 30,00,000	Above Threshold Holding above Rs. 30,00,000
Transmission request form along with demise reporting form	Yes(Annexure 3)	Yes(Annexure 3)	Yes (Annexure 2)	Yes (Annexure 3)	Yes (Annexure 3)
Latest Client Master List (CML)	Yes	Yes	Yes	Yes	Yes
Verifiable death certificate	Yes	Yes	Yes	Yes	Yes
Original Security Certificate / Copy of Statement of Account (SOA)/Holding	Yes	Yes	Yes	Yes	Yes
Copy of birth certificate or school leaving certificate/passport or Aadhaar attested by guardian Note – In case nominee/claimant/legal heir is a minor.	Yes	Yes	Yes	Yes	Yes
KYC of Claimant / Guardian Note: In case the nominee/claimant is a minor or a person of unsound mind, KYC documents of the guardian shall also be required.	Yes	Yes	Yes	Yes	Yes
Document evidencing relationship between claimant and deceased (Relationship proof) Note – Applicable if Claimant is Parents, Spouse, child or parent-in-law.	-	-	Yes	-	-
Transmission request form cum undertaking on plain paper as per specified format.			Yes		
Notarized indemnity bond indemnifying ASL (Annexure – 4)	-	-	-	Yes	-
Notarised affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to securities and no objection	-	-	-	Yes	-

(Annexure – 5) OR Copy of family settlement deed executed by all legal heirs, duly attested by a Notary Public, Gazette Officer, or accepted and approved by a Magistrate, Judge or Civil Court.					
Notarised Affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to securities and no objection (Annexure – 5) (Not applicable in case of Court issued documents – Succession Certificate, Probate of Will, Letter of Administration or Court Decree).	-	-	-	-	Yes
Any ONE of the following: i) Copy of Will in terms of Indian Succession Act with a notarized indemnity bond from the claimants. ii) Legal Heirship Certificate or equivalent issued by relevant revenue authority not below rank of Tehsildar or equivalent along with notarized indemnity from Claimant. iii) Copy of Succession Certificate, Letter of Administration or Court Decree	-	-	-	-	Yes

Note:

- As per SEBI Circular, the QTP-transmission shall only be applicable to and made in favor of immediate relatives – parents, spouse, children and parents-in-law
- Verifiable death certificate shall refer to:
 - Original death certificate or copy attested by nominee subject to verification with original;
 - Copy duly attested by a Notary Public, Gazette Officer or JMFC;
 - Death certificate with QR code;
 - In case the death of the client is outside India, the 'proof of death' document is issued by an authority outside the country and apostilled. (*apostille* refers to a certificate that authenticates the origin of a public document (e.g., a birth, marriage or death certificate, a judgment, an extract of a register or a notarial attestation). Apostilles can only be issued for documents issued in one country which is a party to The Hague Apostille Convention and that are to be used in another country which is also a party to the Convention.)
 - For death certificates issued in foreign jurisdictions, permitting additional modes for verification from overseas branches of Indian banks or any foreign bank with whom Indian banks have correspondent banking relationship.
 - In case the original death certificate is issued in a language other than English, the claimant shall also submit a self-certified copy of translation of death certificate into English along with certified copy of the original death certificate.
 - Indemnity and Affidavit-cum-NOC shall be executed on non-judicial stamp paper of appropriate value as per Stamp Act.
 - Processing entities may seek additional documents for cases.
 - Separate **Annexure 1C (Trade Indemnity)** shall be required where any transaction has been carried out after the date of death, applicable only in cases involving the **first holder/sole holder**. The Annexure 1C should be executed on **₹500 non-judicial stamp paper** and duly notarized with a **"BEFORE ME"** endorsement.
 - **Odd Lot Declaration:** For transmission of securities which are held in odd numbers to be shared amongst the Legal Heirs if there are more than 1 Legal heirs.
 - Transmission request should be process on upon receipt of complete documents, no mismatch should be allowed in the PII (Personal Information Identification)Data of client and claimant details. In case of name mismatch, the client/claimants need to provide Gazette notification or paper publication for such mismatch.
 - Legal Heir ship certificate should be given a revenue authority not below the rank of a Tehsildar or equivalent authority.
 - Written acknowledgement should be provided to the claimant upon receipt of the documents for processing the request. The claimant should also be promptly informed of any pending, missing, incomplete, or incorrect documents requiring submission or rectification.