

Annexure-3

Transmission Request Form (For Transmission under other than QTP

Category)

(For Transmission of Securities / Units on death of the Sole holder / all holders)

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)	

Part B – Details of Securities

I/We, the Nominee / Legal Heir / Claimant of the above referred deceased investor(s), 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) as listed below in my/our favor in my/our capacity as ☐ Nominee(s)/ Joint Holder ☐ Legal Heir ☐ Successor to the Estate of the deceased Administrator of the Estate of the deceased

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:

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)
					To:
3					From: To:

Part C – Other information about Nominee / Legal Heir / 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 Nominee / Legal Heir / 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 Nominee / Legal Heir / Claimant

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

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

Part D – Consent by other Nominee(s) to be added as Joint Holder(s)
(Applicable only in case of claims submitted by nominee)

Other nominee(s) nominated by the deceased holder in the above referred folio(s) as listed below hereby consent to transmit the units with me as the first holder and add other nominee(s) as Joint Holder(s) in the new transmitted folio.

Name of the Nominee(s) to be added as joint holder	PAN/ PEKN	KYC Compliance*

*if KYC not compliance/not done, KYC form with relevant supporting documents to be submitted.

I/We hereby provide my/our consent to add me/us as Joint Holder in the new transmission folio where claimant would be the first holder.

Name of the Nominee(s) to be added as joint holder	Signature

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 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.

Claimant 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.

Documents checklist to be annexed along with the transmission request form.

S. No.	Document	Submitted	Remarks
1	Original Transmission Request Form (duly filled and signed)	☐	
2	<u>Self-attested</u> copy of Latest Client Master List (CML) of claimants' demat account	☐	
3	<u>Self-attested</u> copy of Verifiable Death Certificate of the deceased holder	☐	
4	Original Security Certificate / Copy of Statement of Account (if applicable)	☐	
5	If claimant is a minor - Birth Certificate or School leaving certificate/ Passport or last four digits of 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	Nomination Form or Nomination Opt-Out form	☐	
8	FATCA-CRS Declaration in a prescribed format	☐	
9	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)	☐	

S. No.	Document	Submitted	Remarks
10	Notarised indemnity bond indemnifying the RTA / listed entity/AMC as may be applicable	☐	
11	Notarised affidavit cum NOC from all legal heirs, confirming identification and claim of legal ownership to the securities and no objection OR copy of family settlement deed executed by all legal heirs, duly attested by a notary public, gazetted officer, or accepted and approved by a magistrate, judge or civil court.	☐	
12	Notarised affidavit cum NOC from all legal heirs, confirming identification and claim of legal ownership to the securities and no objection	☐	
13	Any ONE of the following succession documents: Copy of Will as may be applicable in terms of Indian Succession Act, 1925, along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities have to be transmitted OR Legal Heirship Certificate or its equivalent issued by relevant authority which will mean a revenue authority not below the rank of a Tehsildar or equivalent authority, along with a notarized indemnity bond from the legal heir (s)/claimant(s) to whom the securities have to be transmitted; OR Copy of Succession certificate or Letter of Administration or Court Decree.	☐	

Note:

1. For claim submitted by nominee, only documents specified at serial no. 1-9 shall be submitted.
2. For claim submitted by legal heir(s)/claimant(s) under "Simplified" category, documents specified at serial no. 1-11, as applicable, shall be submitted.
3. For claim submitted by legal heir(s)/claimant(s) under "Above Threshold" category, documents specified at serial no. 1-9, 12 and 13, as applicable, shall be submitted.

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.