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	-	-	-	Yes	-

ownership to securities and no objection (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.