



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/2026/575

August 21, 2026

SIMPLIFICATION AND STANDARDISATION OF THE FRAMEWORK FOR TRANSMISSION OF SECURITIES

DPs are advised to refer to CDSL Communiqué No. **CDSL/OPS/DP/POLCY/2026/500** dated **July 24, 2026**, regarding **SEBI Circular No. HO/38/13/11(14)2026-MIRSDPOD/II/17111/2026** dated **July 23, 2026**, on Ease of Doing Investment and Ease of Doing Business – Simplification and standardisation of the framework for transmission of securities.

In view of the aforesaid SEBI Circular, DPs are advised to follow the process as mentioned in Standard Operating Process (SOP) for the transmission of the request refer **Annexure - A**.

The revised common forms and formats applicable for processing transmission request/s by DPs are attached herewith. The fields in the forms and formats shall be used as applicable for the demat account(s). The listed below revised transmission forms are basis on the forms prescribed by SEBI.

- a. Transmission Request Form - **Annexure - 1**.
- b. Bond of Indemnity – **Annexure - 2**.
- c. Quick Transmission Process (QTP) Form – **Annexure - 3**.
- d. Affidavit – **Annexure – 4**.

DPs are advised to note that above forms and formats will be applicable from Saturday, August 22, 2026. The necessary amendments to be incorporated in the CDSL - DP Operating Instructions, wherever applicable, shall be communicated separately.

Queries regarding this communiqué may be addressed to the **CDSL Helpdesk** at **dprtaspport@cdslindia.com** or **022-62343333**.

For and on behalf of
Central Depository Services (India) Limited

sd/-

Nilesh Shah
Vice President – Operations

Standard Operating Process - Transmission of Securities for Demat Holdings

Document Title: Standard Operating Procedure (SOP) for Transmission of Securities from demat holding

Source: Basis on SEBI Circular No. HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated July 23, 2026, on Simplification and Standardisation of the Framework for Transmission of Securities.

1. Objective:

The objective is to establish a SOP for the purpose of handling transmission requests arising due to the death of the of a sole holder or all joint holders of securities, ensuring compliance with SEBI regulations and timely settlement of claims.

2. Scope

This SOP applies to transmission requests received for:

- Securities held in dematerialized form in demat account. Transmission requests processed by Depository Participant (DP)s in Depository systems.
- Transmission requests for the cases wherein nominee(s) are present.
- Transmission of securities without nomination.
- Quick Transmission Processing (QTP), Simplified documentation process for handling and above-threshold claims.
- Cases involving disputes, competing claims, or litigation are outside the scope of this framework and will require appropriate judicial resolution.

3.1- Verifiable Death Certificate

DP must ensure that a verifiable death certificate is obtained upon demise of the Beneficial Owner(BO):

Verifiable Death Certificate shall refer to any one of the following:

- Original death certificate.
- Attested copy of death certificate by nominee (s) /surviving holder(s)/ legal heir(s)/ claimant (s) (as the case may be) subject to verification with the original.
- Notarized/Gazetted Officer/Judicial Magistrate First Class (JMFC) attested copy of Death Certificate.
- Death certificate containing Quick Response (QR) Code.

Note: Where the original death certificate is issued in a language other than English, the claimant shall submit a self-certified English translation along with the certified copy of the original death certificate.

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3.2 Threshold for processing the Transmission requests:

Category	Demat Holdings (value)
QTP	Up to ₹30,000
Simplified Documentation	Above QTP and up to ₹30 lakhs
Above Threshold	Above ₹30 lakhs

*Note - The threshold value shall be determined based on the previous day's closing price of the securities from the date of transmission request received at DP.

4. Role and Responsibilities

Investor/Claimant

- Submit prescribed forms and supporting documents.
- Provide complete and accurate information.
- Respond to deficiency communications.

DP

Necessary documents to be provided in the prescribed format.

- DPs are required to verify the documents and process the requests only if they are complete in all respects
- In case of any discrepancies, DP must inform the deficiencies and reason for rejections to the BO / Claimant.
- DP must ensure that the transmission process is completed within prescribed timelines by Depositories /SEBI from time to time

5. Transmission Process Flow

Death Intimation Received -> Provide Transmission Requirements-> Receive Claim Documents->Document Scrutiny->Identify Category-> (QTP / Simplified / Above Threshold /Nominee / Survivorship)-> Deficiency Check->Verification & Approval->

Transmission Execution->Confirmation to Claimant->Record Maintenance & MIS Reporting

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6. Process of Transmission in cases Where Nomination is Registered in the Demat Account

(a) Documents Required

The following documents shall be submitted by the nominee(s) for processing the transmission request:

- (i) Duly completed and signed Transmission Request Form as prescribed by SEBI as **Annexure 3**.
- (ii) Latest Client Master List (CML) of the nominee(s) demat account.
- (iii) Verifiable Death Certificate of the deceased account holder, as referred to in Clause 3.1.

(b) Procedure

- (i) The Depository Participant (DP) shall acknowledge receipt of the transmission request and supporting documents after verifying their completeness.
- (ii) The DP shall verify the following:
 - Nomination registration details available in the Depository records.
 - Authenticity and validity of the Death Certificate.
 - Identity and KYC details of the nominee(s).
 - Demat account details of the nominee(s).
- (iii) Upon successful verification of the documents and details, the DP shall ensure that the transmission request is complete in all respects and approve the request in the Depository system.
- (iv) The securities held in the deceased BO's demat account shall be transmitted to the nominee(s)' demat account(s) in accordance with the nomination details recorded in the Depository system.
- (v) Upon completion of the transmission process, the DP shall communicate the status of the request to the nominee(s) and maintain the relevant records in accordance with applicable regulatory and record-retention requirements.
- (vi) DP shall educate the nominee(s), that nominee(s) receives the securities as a trustee on behalf of legal heirs. The DP / Depository is discharged from liability after transmission.

7. Process for Transmission of securities without Nomination

The following documents are required for processing the transmission of securities where no nomination has been registered:

(a) Common Documents are applicable to all categories (QTP/ Simplified Documentation/ above threshold)

1. Transmission Request Form.
2. Latest CML of the claimant's demat account.
3. Verifiable death certificate

8. Quick Transmission Processing (QTP)

DP must check the Eligibility for QTP

(a) QTP shall be applicable for only immediate relatives as mentioned below:

- Spouse
- Children
- Parents
- Parents-in-law

(b) Value as on date of acceptance is within QTP threshold.

(c) Documentation in addition to common documents as referred in 7(a)

- I. Transmission Request Form-cum-Undertaking as prescribed by SEBI as Annexure 2
- II. Relationship proof establishing relationship between the claimant(s) and the deceased security holder(s).

(d) DP must follow the process as mentioned below to process the QTP

- I. Verify relationship proof.
- II. Verify securities value falls within QTP threshold.
- III. Validate undertaking.
- IV. Approve transmission.
- V. Credit securities.
- VI. Issue completion advice to the claimant/s.

9. Simplified Documentation Cases

Eligibility

Claims that fall within the simplified threshold limits but exceed the QTP limits.

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Additional Documents are required to be obtained

1. Notarized Indemnity Bond indemnifying the DP / Depositories as per the format prescribed by SEBI as Annexure-4.
2. a) Affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to the securities and no objection as per the format prescribed by SEBI as Annexure-5.

OR

b) 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.

3. In case of exceptions where the claimant submits:

- Succession Certificate,
- Probate of Will,
- Letter of Administration,
- Court Decree,

submission of indemnity bond and affidavit cum NOC is not required.

Note: The indemnity and affidavit-cum-NOC shall be executed on non-judicial stamp paper of appropriate value as specified under the Stamp Act of the state where the claimant resides and notarized and attested by gazetted Officer or Judicial Magistrate First Class (JMFC).

DP shall follow the process as mentioned below.

1. DP shall verify legal heirship, Scrutinize indemnity bond. Further DP will have to verify the affidavit-cum-NOC/family settlement deed and conduct proper checking as per risk assessment process, once satisfied DP shall approve the transmission to give the credit of securities.

10. Cases exceeding above the threshold

If the claims are exceeding ₹30 lakhs (demat holdings) DP must obtain the additional documents as mentioned below.

1. Notarised Affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to the securities and no objection as per the format as prescribed by SEBI as Annexure-5;

And, any ONE of the following documents:

- I. Copy of Will along with indemnity bond 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, as per the format prescribed by SEBI as Annexure -4

- II. 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, as per the format prescribed by SEBI as Annexure-4;
- III. Copy of Succession Certificate Or Letter of Administration or Court Decree.

DP shall process the request after following the necessary process:

- Verifying the succession documents.
- Legal heir declarations.
- DP shall conduct the enhanced scrutiny and obtain internal approval for execution of the transmission request.
- DP shall finally send the completion communication to the surviving holder/Nominee/Legal heir.

DPs can seek additional documents over and above as prescribed with reasons recorded in writing.

11. Rule to be followed for Survivorship

Where one or more joint holders have deceased and at least one joint holder remains surviving, the claim shall be processed under the survivorship provisions in favor of the surviving joint holder(s).

Following will be the list of documents required to be obtained

i.e. A verifiable Death Certificate of the deceased holder(s) and

Duly signed name Deletion Request Form from the surviving holder(s), in cases where the surviving joint holder(s) wish to continue the existing account.

DPs are not required to seek the following documents from the survivor at the time of processing the transmission

- KYC, Indemnity, Affidavit, NOC and any other Additional undertakings

Transmission of securities will be affected in favour of surviving joint holder(s), DPs/Depositories shall continue to comply with clause 23 of Table F in Schedule 1 read with Section 56(2) & 56(4)(c) of the Companies Act, 2013, Operating guidelines from Depositories and transmit securities in favour of surviving joint holder(s), in the event of demise of one or more joint holder(s), provided that there is nothing contrary in the Articles of Association of the company

12. In case of Death of a holder outside India

- DP can accept certified copy of the death certificate through any of the following:
 - (a) a Court Magistrate or Judge or Notary Public in the country of issuance; or
 - (b) Consularisation by Indian Embassy/ Consulate General in the country of issuance; or

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(c) apostilled; or

(d) certification by authorised officials of overseas branches of Scheduled Commercial Banks registered in India.

(e) certification by authorised officials of branches of overseas banks with whom Indian banks have correspondent banking relationships.

13. Rejection of Claims

Transmission request may be rejected wherein:

- Documents are found to be fraudulent.
- Competing claims exist.
- Court stay/order exists.
- Material information is suppressed.
- Relationship/legal heirship cannot be established.

14. Record Retention

DP shall maintain all the documents:

- Death certificate copies.
- Transmission forms.
- NOCs.
- Indemnity bonds.
- Legal heirship documents.
- Approval records.
- Audit trail.

For audit and regulatory requirements.

Enclosures: related forms / formats.

Transmission Request Form (For Transmission under other than (Quick Transmission Process) 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) 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: 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/ PEKRN	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.

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.

Note: To be executed in the presence of a Notary Public / Judicial Magistrate First Class (JMFC) / Gazetted Officer

BOND OF INDEMNITY

For Transmission of Securities / Mutual Fund Units upon demise of Sole Holder / All Holders who died without registering a Nominee

To be furnished jointly or severally, as may be applicable, by all Legal Heir(s), including the Claimant(s)

To be submitted on Non-Judicial Stamp Paper of appropriate value, as applicable in the relevant State where the claimant resides

ASSET TYPE – TICK AS APPLICABLE

Securities (Shares / Debentures / Bonds / Mutual Fund units etc.) held in:

☐ Physical mode / Statement of Account (SOA)

☐ Demat mode

PART A – DETAILS OF HOLDING

I/We do hereby solemnly affirm and state on oath as follows:

That Mr./Ms. _____ (“Name of the deceased security/unit holder”) was the sole holder of the following securities / mutual fund units:

S. No.	Name of Company / Mutual Fund Scheme	Client ID / DP ID / Folio No. / Certificate No.	Distinctive No. (if applicable)	No. of Securities / Units/shares Held
1			From : To:	
2			From:	

PART B – BASIS OF SUCCESSION & DETAILS OF LEGAL HEIR(S)

That the aforesaid deceased holder died on _____, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of:

☐ Intestate succession by which the deceased was governed at the time of his/her death.

☐ Testamentary succession – i.e., under a Will of the deceased.

(Please tick one of above checkboxes, as applicable)

Name of Legal Heir(s) / Claimant(s)*	Address & Contact Details	Age	Relationship with the Deceased

*If any of the Legal Heir(s) other than claimant has expired, verifiable death certificate should be submitted for such deceased Legal Heir(s) also.

PART C – REQUEST & INDEMNITY

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein, have approached _____ (Name of the Listed Company / Issuer / AMC / RTA / Depository Participant / Depository) with a request to transfer/transmit the aforesaid securities/units in the name of the undersigned Mr./Ms.

_____ [Name(s) of the legal heir(s)/claimant(s)] (#), on my/our behalf, without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court Order, for which we execute this indemnity as herein contained, relying on the information given by us and believing the same to be true.

In consideration of my/our request to transfer/transmit the above-said securities/units to the name of the undersigned legal heir(s)/claimant(s) named above (#), I/We hereby jointly and

severally agree and undertake to indemnify and keep indemnified, saved, defended and held harmless the said Listed Company/Issuer/AMC and its RTA/Depository Participant/Depository, and their respective successors and assigns, at all times hereafter, against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, and liabilities whatsoever, which they may suffer and/or incur by reason of transferring/transmitting the said securities/units as aforesaid, at my/our request, to the undersigned legal heir(s)/claimant(s), without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court Order (of competent jurisdiction).

This indemnity shall be binding on me/us, our respective heirs, executors, administrators, and legal representatives, and shall remain in full force and effect irrespective of whether the asset transmitted is a security or a mutual fund unit, or both.

I/We declare that, to the best of my/our knowledge and belief, there is no pending dispute, litigation or competing claim amongst the legal heir(s) and claimant(s) in relation to the aforesaid securities/units or the succession thereof.

PART D – EXECUTION

IN WITNESS WHEREOF the said

1) Mr./Ms. Name: _____ Signature: _____
(Name & signature of witness),

2) Mr./Ms. Name: _____ Signature: _____ (Name & signature of witness),

have hereunto set their respective hands and seals this _____ day of

_____. Signed and delivered by the said legal heir(s).

Name of the Legal Heir(s) / Claimant(s)	Signature of the Legal Heir(s) / Claimant(s)
1.	X
2.	X
3.	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.

PART E – ATTESTATION BY NOTARY

Signed before me,

At: _____

On (date): _____

Signature of Notary

Official Stamp, Seal & Registration No. of Notary:

**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	☐	
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)		
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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

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 / Judicial Magistrate First Class (JMFC)

AFFIDAVIT-CUM-NO OBJECTION DECLARATION

For Transmission of Securities / Mutual Fund Units upon demise of Sole Holder / All Holders who died without registering a Nominee

To be furnished jointly or severally, as may be applicable, by the Claimant(s) and all Non-Claimant Legal Heir(s)

ASSET TYPE – TICK AS APPLICABLE

Securities (Shares / Debentures / Bonds / Mutual Fund units etc.) held in:

☐ Physical mode / Statement of Account (SOA)

☐ Demat mode

PART A – DEPONENT(S)

I/We _____, son(s)/daughter(s)/legal heir(s) of Late Mr. / Mrs., residing at __, do hereby solemnly affirm and state on oath as under:

PART B – DECLARATIONS

1. The above-mentioned deceased holder held the securities/units described in Part C in his/her name as the sole holder.
2. The deceased holder died on _without registering any nominee.
3. Basis of succession (applicable only for cases above threshold category):
☐ Succession Certificate ☐ Probate of Will ☐ Will
☐ Letter of Administration ☐ Legal Heirship Certificate ☐ Court Decree

☐ Law of Intestate Succession

4. A copy of the applicable document referred to above is enclosed herewith.
5. The persons named in Part D are the only legal heir(s)/legatee(s) of the deceased.
6. Where any legal heir named herein is a minor, such minor is represented by his/her natural / legal guardian.
7. The claimant(s) named in Part E have applied for transmission of the said securities/units in their favour.
8. I/We declare that, to the best of my/our knowledge and belief, there is no pending dispute, litigation or competing claim amongst the legal heir(s) and claimant(s) in relation to the aforesaid securities/units or the succession thereof.
9. I/We, being the non-claimant legal heir(s) named in Part D and do hereby voluntarily and unconditionally relinquish and renounce all rights, title, interest, and claim, present or future, in the said securities/units in favor of the claimant(s) and shall have no claim whatsoever thereto at any time hereafter.
10. I/We have no objection whatsoever to the transmission of the said securities/units in favor of the claimant(s) named herein, and consent to such transmission being effected by the Listed Company/Issuer/AMC/RTA/Depository Participant/Depository.
11. I/We declare that the statements made herein, and the documents enclosed herewith, are true and correct to the best of my/our knowledge and belief, and that nothing material has been concealed or misrepresented. I/We shall be solely responsible for resolving any issue, dispute, or claim that may arise should any statement or document furnished herein be found to be false, incorrect, or incomplete, and shall keep the Listed Company / Issuer

/ AMC / RTA / Depository Participant / Depository fully indemnified against any loss or liability arising therefrom.

PART C – DETAILS OF SECURITIES / UNITS

S. No.	Name of Company / Mutual Fund Scheme	Client ID / DP ID / Folio No. / Certificate No.	Distinctive No. (if applicable)	No. of Securities / Units Held
1			From: To:	
2			From: To:	
3			From: To:	
4			From: To:	

PART D – DETAILS OF LEGAL HEIRS (INCLUDING NON-CLAIMANTS)

Name of Legal Heir(s)	Address & Contact Details	Age	Relationship with Deceased

PART E – DETAILS OF CLAIMANT(S)

Name of Claimant	Address & Contact Details	Age	Relationship with Deceased

PART F – VERIFICATION

I/We solemnly affirm and verify that the statements made in the foregoing paragraphs are true and correct to the best of my/our knowledge and belief, and that nothing material has been concealed therefrom. I/We declare that I am/we are competent to contract and am/are entitled to the rights and benefits relating to the aforesaid securities/units.

Place: _

Date: _

Signature(s) of Claimant(s):

X _____

X _____

X _____

Signature(s) of Non-Claimant Legal Heir(s):**

X _____

X _____

X _____

**** The signatures of non-claimant legal heir(s) are required only where the claimant has not furnished a Succession Certificate, Probate of Will (where applicable and available), Letter of Administration or Court Decree. Where any such court-issued document is furnished, this instrument shall operate as an affidavit of the named legal heir(s)/claimant(s) alone, and no NOC or signature from non-claimant legal heir(s) shall be required.**

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.

ATTESTATION

Signed before me, by above signatories, identity/(ies) of whom has/have been verified.

At: _____

On (date): _____

Signature and Seal of Notary / Gazetted Officer

Registration No. (if Notary): _____