

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) ☐ 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.

**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:	



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
			To:	
3			From: To:	
4			From: To:	

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:



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



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): _____