Process Note on Simplification & Standardization of Transmission framework

SEBI Circular No. HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated July 23, 2026

In terms of Regulation 40(7) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("LODR Regulations"), as amended vide Gazette Notification no. SEBI/LAD-NRO/GN/2026/312 dated July 10th, 2026, it has been decided to specify the revised transmission framework for securities.

The framework shall apply to transmission of listed securities and units issued by Asset Management Companies ("AMCs") consequent to demise of sole holder/ all joint holders of securities.

1. Quick Transaction Processing - Introduction

Type of holding	Claims threshold under Quick Transmission Processing (QTP) (₹ in Thousands)	Claims threshold under simplified documentation (₹ in Lakhs)
Securities in physical mode	10	10
Securities in dematerialised mode (Transmission process done by Depository Participants)	30	30

- The value of the units shall be determined by the claimant based on the last declared NAV applicable on the date the fresh or resubmitted transmission request is accepted.
- **Who can apply:** Immediate relatives of the deceased security holder (parents, spouse, children, parents-in-law).
- **Type of claims:** Low-value claims only.
- **Thresholds:**
  - **Physical / Non-Demat Units:** Up to ₹10,000 per Mutual Fund/SIF
- **Relationship proof (additional document):** Required to establish the relationship between claimant and deceased. Birth certificate, School Leaving Certificate, School records / service records, Passport, Marriage Certificate,

Ration Card, Voter ID, Aadhar, PAN, Will, Legal Heirship Certificate, Court Decree, Letter of Administration, Succession Certificate, Probate of Will (wherever available).

In Case of non availability of the relationship proof documents, Notarized Affidavit in the given format to be submitted.

2. Transmission through Simplified Documentation

If the transmission value is more than INR 10,000 and up to INR 10 lakhs for mutual fund units held in non-demat mode, the following additional documents shall be submitted under simplified documentation:

(a) Notarized indemnity bond indemnifying the AMC in the prescribed format.

AND

(b) Notarized affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to the securities & no objections in prescribed format.

OR

(c) 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. Time Frame and Deadlines

- **Processing time:** AMC / RTA must process the transmission case within **21 calendar days** from the date of receipt of all required documents.
- **Effective date:** The revised framework comes into force **30 days from the date of the circular** (i.e., August 22, 2026).
- **Communication:** If the claim is not settled or is rejected within the timeline, the entity must communicate the reasons in writing.

3. Key Changes Introduced

- **Simplified documentation:** Only essential documents required; combined affidavit-cum-NOC replaces separate affidavits and NOCs.
- **No mandatory probate:** Probate of Will is no longer mandatory for transmission.
- **Acceptance of death certificates:**
    - Death certificates with QR codes are accepted. OR
    - copy of death certificate duly attested by a notary public or a Gazetted Officer or a Judicial Magistrate First Class OR

- an original death certificate or copy of death certificate attested by the nominee subject to verification with the original;

- **Foreign death certificates:** Attestation by authorized officials of foreign banks where deceased holder is having bank account, with whom Indian Banks have correspondent banking relationship. OR Scheduled Commercial Banks registered in India where deceased holder is having bank account.

4. Clarifications:

- Clause 4.1.3 relating to distribution among surviving nominees on a pro-rata basis shall not be acted upon, in view of the latest nomination circular and SEBI letter dated July 28, 2026 requiring alignment with the revised nomination framework.
- Clause 6.1.5 relating to Online facility for uploading transmission related forms and documents, Validation may be undertaken based on uploaded images and shall be communicated suitably to the claimant. However, except for QTP forms, processing shall commence only after receipt of the original documents at the AMC/RTA headquarters or other designated processing location.

5. Simplified Grid for Documentation Requirement for Transmission of Securities

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
A	**Common documents (mandatory in all cases)**			
1	**Transmission Request Form.**	✓	✓	✓
2	**Latest Client Master List (CML) of claimants' demat account.**	✓	✓	✓
3	**Verifiable death certificate of the deceased holder.**	✓	✓	✓
4	**Original Security Certificate / Statement of Account.**	✓	✓	✓

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
5	Copy of Birth Certificate or School leaving certificate/ Passport or Aadhaar attested by guardian (in case the nominee / claimant/legal heir is a minor)	✓	✓	✓
6	KYC of the Guardian (in case of nominee /claimant being a minor / of unsound mind).	✓	✓	✓
7	Nomination Form or Nomination Opt-Out form	✓	✓	✓
8	FATCA-CRS Declaration in a prescribed format, wherever applicable	✓	✓	✓
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)	✓	✓	✓
B	Relationship Proof – applicable for QTP			
10	Document evidencing relationship between the claimant and the deceased security holder (applicable only where claimant is parent, spouse, child or parent-in-law).	✓	-	-
11	Transmission Request Form-cum-Undertaking on plain paper as per specified format.	✓	-	-
C	Indemnity and consent - applicable for "Simplified" category			

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
12	Notarised indemnity bond indemnifying the RTA / listed entity/AMC as may be applicable. However, in case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Notarised indemnity bond will not be applicable.	-	✓	-
13	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. *In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) will not be applicable.	-	✓	-
D	Other documents - applicable for “Above Threshold” category			

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
14	Notarised affidavit-cum-NOC from all* legal heirs, confirming identification and claim of legal ownership to the securities and no objection. *In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) shall not be applicable.	-	-	✓
15	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, as per the format specified (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, as per specified format. (OR) Copy of Succession certificate or Letter of Administration or Court Decree.	-	-	✓

Note: The processing entities may, for cases above threshold for simplified documentation, seek additional documents over and above those prescribed by SEBI, if so required.

To know in detail please refer the SEBI Circular

परिपत्र/Circular

HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 **July 23, 2026**

To,

All Listed Companies
All Registrars to an Issue and Share Transfer Agents ("RTAs")
All Depositories
All Depository Participants ("DPs")
All Mutual Funds/All Asset Management Companies ("AMCs")
Association of Mutual Funds in India ("AMFI")
All Investors' Associations

Madam / Sir,

Sub: Ease of Doing Investment and Ease of Doing Business – Simplification and standardisation of the framework for transmission of securities

1. As an on-going measure to enhance ease of dealing in securities markets and with a view to make the transmission process more efficient and investor friendly, SEBI has reviewed the process being followed by processing entities (i.e. listed companies/ RTAs / Depositories/ DPs / AMCs) for effecting transmission of securities.

2. Accordingly, in terms of Regulation 40(7) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("LODR Regulations"), as amended vide Gazette Notification no. SEBI/LAD-NRO/GN/2026/312 dated July 10th, 2026, it has been decided to specify the revised transmission framework for securities as prescribed in **Annexure** to this Circular.

3. Key features of the revised framework:

   3.1. Introduction of a harmonised, standardised and risk-based process for transmission of securities.

3.2. New category for low value claims, namely, Quick Transmission Processing ("QTP") and revision of monetary threshold limits for transmission of securities under the simplified documentation framework, as under:

Type of holding	Claims threshold under Quick Transmission Processing (QTP)[1] (₹ in **Thousands**)	Claims threshold under simplified documentation (₹ in **Lakhs**)
Securities in physical mode [2]	10	10[3]
Securities in dematerialised mode[4]	30	30

3.3. Standardisation of documentation requirements and the procedures for transmission including the following:

- Removal of mandatory requirement of Probate of Will, in line with recent amendments to succession laws.
- Combined affidavit-cum-No Objection Certificate("NOC") in place of separate affidavit and NOC.
- In addition to original/attested copy of death certificate, acceptance of copy of death certificate with QR Code as an eligible document in view of ease of verification.
- For death certificates issued in foreign jurisdictions, permitting additional modes for verification from overseas branches of Indian banks or any

[1] New category for small investors having low value claims

[2] Per listed entity/Mutual Fund (MF)/Specialized Investment Fund (SIF) units in Statement of Account (SOA) form per AMC

[3] Listed entity may, at its discretion, enhance the value of securities from the threshold limit of rupees ten lakhs, in case of securities held in physical mode.

[4] Per beneficial owner for securities

foreign bank with whom Indian banks have correspondent banking relationship.

4. The provisions of this circular and the revised transmission framework specified in **Annexure** along with model forms provided therein, shall come into force with effect from 30 days from the date of issuance of this circular.

5. Notwithstanding the above, the processing entities shall strive to process transmission requests received before the said date in terms of the revised framework to give benefit of the simplified procedure to investors. Further, in such cases, if certain documents have already been submitted by the investor, the processing entities shall not seek re-submission of such documents in the new formats.

6. Processing entities shall provide monthly reports as per the following format to SEBI regarding processing of transmission requests under revised transmission framework for a period of 6 months on rta@sebi.gov.in :

Category	**Number of cases pending at the beginning of the month**	**Number of cases processed during the month**				**Number of cases pending at the end of the month**
		Received	**Approved**	**Rejected**	**Cases where additional documents were sought with reasons**	
QTP						
Simplified						
Above threshold						

7. This circular is issued in exercise of powers conferred under Section 11(1) of Chapter IV of the Securities and Exchange Board of India Act, 1992 and section 19 of the Depositories Act, 1996 read with regulation 101 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and Regulation 37 and 38 of Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 2025, to protect the interests of investors in securities and to promote the development of, and to regulate the securities markets.

8. This circular is available on SEBI website at www.sebi.gov.in under the category: 'Legal → Circulars'.

Yours faithfully,

Aradhana Verma
General Manager
Market Intermediaries Regulation and Supervision Department
Tel. No. 022-2644-9633
Email id – aradhanad@sebi.gov.in

Annexure

Simplifying and standardising the framework for transmission of securities

1. Applicability

1.1 The framework shall apply to transmission of listed securities and units issued by Asset Management Companies ("AMCs") consequent to demise of sole holder/ all joint holders of securities.

1.2 All listed Companies, Registrar and Share Transfer Agents ("RTAs"), Depositories, Depository Participants and AMCs, shall adhere to the procedure and documentation to be followed for transmission of securities.

1.3 Further, the framework shall not apply where there is any dispute or contesting/competing claims. In such cases, the claimants shall be required to resolve the matter through appropriate judicial or legal proceedings.

2. Definitions

2.1 Unless the context otherwise requires,

(a) *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.

(b) *entity or processing entities* refer to Listed Companies / RTAs / Depositories / DPs / AMCs.

(c) *relevant authority* for the purpose of legal heirship certificate or equivalent certificate shall mean a revenue authority not below the rank of a Tehsildar or equivalent authority.

(d) *verifiable death certificate* shall refer to:

(i) an original death certificate or copy of death certificate attested by the nominee subject to verification with the original;

or

(ii) copy of death certificate duly attested by a notary public or a Gazetted Officer or a Judicial Magistrate First Class ("JMFC");

or

(iii) death certificate with Quick Response (QR) code

3. **<u>Introduction of Quick Transmission Processing ("QTP") for low value claims and revision of thresholds for simplified documentation</u>**

3.1 The threshold for QTP and simplified documentation shall be as follows:

Type of holding	**Claims threshold under Quick Transmission Processing (QTP)** (₹ in **<u>Thousands</u>**)	**Claims threshold under simplified documentation** (₹ in **<u>Lakhs</u>**)
Securities in physical mode	10	10
Securities in dematerialised mode	30	30

3.2 The value of securities shall be quantified by the claimant on the basis of the previous closing price of such securities at any one of the recognized stock exchanges.

4. **<u>Documentation requirements for transmission:</u>**

4.1 Cases where nomination has been made

4.1.1 Where the securities are held with a nomination, the nominees(s) shall receive the assets of deceased sole holder / joint holders as trustee on behalf of legal heir(s) of deceased holder(s).

4.1.2 The nominee(s) shall be informed about the procedure to be followed for the claim on receipt of intimation of death of the security holder(s).

In such cases, the following documents shall be required to be submitted:

(a) Transmission request form by the nominee(s) (format specified at Annexure-3);

(b) Latest client master list ("CML") of the demat account of the nominee(s);

(c) Verifiable death certificate;

(d) Original security certificate(s) / copy of statement of account ("SOA"), as may be applicable.

4.1.3 Upon demise of one of the nominees prior to the demise of the investor and if no change is made in the nomination, then the assets attributable to the deceased nominee shall be distributed to the surviving nominees on pro rata basis.

4.1.4 The regulated entity shall be fully discharged from its liabilities upon transmission of assets to the nominee(s).

4.2 Cases where there is no nomination

In cases where there is no nomination, the transmission of securities of the deceased holder(s) shall be made in favour of claimant(s)/legal heir(s). In such cases, the following documents shall be required to be submitted:

4.2.1 Common requirements

(a) Transmission request form by the claimant(s) (format specified at Annexure-2 for QTP claims and Annexure-3 for other claims);

(b) Latest CML of the demat account of the claimant(s);

(c) Verifiable death certificate;

(d) Original security certificate / copy of SOA, as may be applicable.

4.2.2 Additional requirements

4.2.2.1 Requirements QTP for low value cases

The claimant(s) shall submit the transmission request form-cum-undertaking as per format specified at Annexure-2 on a plain paper along with a document establishing relationship between the claimant(s) and the deceased security holder(s).

Note: Transmission of securities under QTP shall be permitted only in favour of immediate relatives of the deceased security holder(s) viz. parents, spouse, children and parents-in-law.

4.2.2.2 Requirements under simplified documentation category

The claimant(s) shall submit the following additional documents for processing of claim:

(a) Notarized indemnity bond indemnifying the processing entity (format specified at Annexure-4); and

(b) Notarised affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to the securities and no objection (format specified at Annexure-5);

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.

Note:

1. In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of following documents shall not be applicable:
   (i) Notarised indemnity bond;
   (ii) Affidavit-cum-NOC from non-claimant legal heir(s).
2. 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.

4.2.2.3 Requirements for claims above simplified documentation threshold

For claims above the threshold for simplified documentation, the claimant shall submit the following additional documents in addition to the common documents requirement:

(a) Notarised affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to the securities and no objection (format specified at Annexure-5); and

(b) 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, as per the format specified;

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, as per the format specified at Annexure-4;

OR

Copy of Succession certificate or Letter of Administration or Court Decree.

Note:

1. In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) shall not be applicable.
2. The 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.
3. The processing entities may, for cases above threshold for simplified documentation, seek additional documents over and above those prescribed by SEBI, if so required and for reasons to be recorded in writing.

5. Transmission Grid

A grid summarising the documentation required for processing transmission of securities is provided at **Annexure-1**.

6. Standard Procedure for Submission of Claims:

6.1 Modes and procedure for submission of claim

6.1.1 The entity shall necessarily use standardised forms in the following formats for receiving the claims and other documents:

(i) Transmission Request form-cum-Undertaking on plain paper for claims under QTP category – **(Annexure-2),**

(ii) Transmission Request Form for claims other than QTP category – (**Annexure-3**),

(iii) Notarised indemnity bond indemnifying the processing entity (**Annexure-4**), and

(iv) Notarised affidavit-cum-NOC from legal heirs, as applicable, confirming identification and claim of legal ownership to the securities and no objection (**Annexure-5**).

6.1.2 Such forms shall be made available by the entity to the claimant in physical mode as well as on their websites along with the list of documents to be submitted by a claimant and the procedure to be followed for settlement of claims in various scenarios.

6.1.3 The entity shall acknowledge the receipt of claim once the documents are submitted by the claimant. Also, while issuing such acknowledgement, the entity shall, at that time itself, inform the claimant about any pending or missing or incomplete or incorrect documents.

6.1.4 On subsequent submission of all the required documents, the entity shall issue a confirmation to the claimant that all required documents have been received for processing of the claim.

6.1.5 The entity may additionally offer an online facility for submitting such claims. Once the claimant uploads the relevant forms and required documents, the entity shall issue an acknowledgement/confirmation through appropriate channels and enable online tracking of the claim status. If original documents are needed for submission or verification, the claimant will be required to present them to the entity in person.

6.1.6 For securities held in physical mode, after verifying and processing the request, the processing entity shall initiate the demat conversion request in the depository system for direct credit of securities in the demat account of the security holder/claimant.

Post confirmation of the demat conversion request, the processing entity shall send an intimation to the security holder/claimant regarding successful dematerialisation of the securities.

In case of the securities which are required to be locked in, the RTA, while crediting the securities in the demat account of the security holder/claimant, shall incorporate/intimate the Depository about the lock-in and its period.

The RTA shall retain the physical securities as per the existing procedure and deface the certificate with a stamp "Securities issued in dematerialised form" on the face/ reverse of the certificate, subsequent to processing of service request."

6.1.7 Any deviation from the procedure laid down by SEBI, shall be communicated to the claimant with reasons to be recorded in writing within a specified time.

6.1.8 In cases where processing entities exercise the discretion to seek additional documents, such requirement of additional document shall be consistent across processing entities and for similar kind of cases of clients.

6.1.9 The processing entities shall also adopt similar approach for transmission of securities transferred to Investor Education and Protection Fund.

6.1.10 **Modes for proof of death in case the in case of death of an investor outside India**

6.1.10.1 In cases involving death of an investor outside India, 'proof of death' document is issued by an authority outside the country. In such cases, the entity shall accept the certified true copy of the document issued for 'proof of death', certified in the country of its issuance through any of the following modes:

(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
(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.

6.1.10.2 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.

6.1.11 **Time limit for settlement of claims**

6.1.11.1 The entity shall process the transmission case within a period not exceeding 21 calendar days or any such period as may be specified by the Board, from the date of receipt of all the required documents associated with the claim.

6.1.11.2 In case the transmission claim is not settled within the stipulated timelines or rejected, the entity shall communicate to the claimant, the reasons, in writing, for such delay/rejection.

6.1.11.3 In case the entity does not settle the transmission claim within the given timelines and such delay is attributable to the entity, SEBI may undertake appropriate action in terms of relevant act/regulations/circulars etc.

6.1.11.4 For all cases of transmission involving securities held in physical mode, the claimant should have the original security certificate(s) (except for cases which fall under duplicate-cum-transmission).

7. Rule of Survivorship

For transmission of securities to the surviving joint holder(s), RTAs/listed entity/AMCs/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, 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.

In such cases, the regulated entity shall not seek any documentation including related to KYC, indemnities or undertakings from the surviving joint holder, except copy of the Death Certificate of the deceased.

Annexure-1

Simplified Grid for Documentation Requirement for Transmission of Securities

Applicability of Documentation Categories

Category	Applicability
QTP	Quick Transmission Processing — very low-value claims by immediate relatives (parents, spouse, children, parents-in-law)
Simplified	Simplified documentation cases other than QTP, within the prescribed threshold
Above Threshold	Claims exceeding the simplified documentation threshold

Documentation Grid

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
A	**Common documents (mandatory in all cases)**			
1	Transmission request form	✓	✓	✓
2	Latest Client Master List (CML) of the claimant's demat account	✓	✓	✓
3	Verifiable death certificate of the deceased security holder	✓	✓	✓
4	Original security certificate/statement of SOA	✓	✓	✓
5	Copy of Birth Certificate or School leaving certificate/ Passport or Aadhaar attested by guardian (in case the nominee/claimant/legal heir is a minor)	✓	✓	✓
6	KYC of the Guardian (in case of nominee /claimant being a minor / of unsound mind)	✓	✓	✓

B	**Relationship proof - applicable for “QTP”**			
7	Document evidencing relationship between the claimant and the deceased security holder (applicable only where claimant is parent, spouse, child or parent-in-law)	✓	—	—
8	Transmission Request Form-cum-Undertaking on plain paper as per specified format	✓	—	—
C	**Indemnity and consent - applicable for “Simplified” category**			
9	Notarised indemnity bond indemnifying the RTA / listed entity/AMC as may be applicable. However, in case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Notarised indemnity bond will not be applicable.	—	✓	—
10	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. *In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) will not be applicable.			
D	**Other documents - applicable for "Above Threshold" category**			
11	Notarised affidavit-cum-NOC from all* legal heirs, confirming identification and claim of legal ownership to the securities and no objection. *In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) shall not be applicable.	—	—	✓
12	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, as per the format specified 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, as per specified format; OR Copy of Succession certificate or Letter of Administration or Court Decree.			

Note: The processing entities may, for cases above threshold for simplified documentation, seek additional documents over and above those prescribed by SEBI, if so required.

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

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.

<u>Documents checklist to be annexed along with the transmission request form.</u>

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.

Annexure-4

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:

____

भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board of India

Annexure-5

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): ____