

Annexure-14

READY RECKONER: DOCUMENTS REQUIRED FOR TRANSMISSION OF SECURITIES

Sr. No.	Documents required for transmission	Sole holder deceased & nomination registered	Sole holder deceased & nomination <u>not</u> registered
1.	Transmission Request Form	<u>Annexure 16</u>	<u>Annexure 16</u>
2.	Original death certificate or Copy of death certificate attested by a notary public/gazette officer or copy of the death certificate attested by the nominee/claimant, subject to verification with original by the RTA/Listed Issuer	✓	✓
3.	Self-attested copy of Permanent Account Number Card of the nominee/claimant issued by the Income Tax Department	✓	✓
4.	Copy of Birth Certificate (in case the Claimant is a minor)	✓	✓
5.	KYC* of the Claimant Guardian (in case of nominee /claimant being a minor / of unsound mind).	✓	✓
6	Original Security certificate(s)	✓	✓

*If not KYC compliant

7.	Notarized affidavit from all legal heir(s) made on non-judicial stamp paper of appropriate value on identity and claim of ownership, as per the format provided in Annexure-17 .	NA	✓
8.	In case the legal heir(s)/claimant(s) are named in the Succession Certificate or Probate of Will or Will or Letter of Administration or Legal Heirship Certificate (or its equivalent certificate), instead of the document mentioned in point 7 above, an Affidavit from such legal heir(s)/claimant(s), duly Notarised and as per the format provided in Annexure- 17 shall be sufficient.	NA	✓
9	Copy of any of the following documents: (a) Succession certificate; or (b) Probate of Will; or (c) Will, along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities are transmitted, as per the format specified provided in Annexure-18 ; or (d) Letter of Administration; or (e) Court Decree; or (f) Legal Heirship Certificate	NA	✓



	<p>or its equivalent, along with (i) a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities are transmitted, as per the format provided in Annexure- 18; and (ii) No Objection from all the non-claimants, as per the format provided in Annexure- 19.</p> <p>The document should be Attested by the legal heir(s)/claimant(s) subject to verification with the original or duly attested by a notary public or by a Gazetted officer.</p>		
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10.	<p>For cases where the value of securities is up to rupees five lakhs per listed entity in case of securities held in physical mode and up to rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode, instead of and where the documents mentioned in point 9 above are not available, the following documents may be submitted;</p> <p>(i) no objection certificate from all legal heirs(s), in as per the format provided in Annexure-19, or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer; and</p> <p>(ii) notarized indemnity bond made on non-judicial stamp paper of appropriate value, indemnifying the Share Transfer Agent/listed entity, in as per the format provided in Annexure-18.</p>	NA	✓
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