

**Request for Transmission of Securities by Nominee or Legal Heir**  
(For Transmission of securities on death of the Sole holder)

**Annexure C –  
ISR 5**

To:

**The Listed Issuer/RTA,**  
(Address)

(Name of the Listed

Issuer/RTA)

<b>Name of the Claimant(s)</b> Mr./Ms
Name of the Guardian <input type="checkbox"/> <i>in case the claimant is a minor</i> → Date of Birth of the minor* Mr./Ms
Relationship with Minor: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Court Appointed Guardian*
<b>[Multiple PAN may be entered]</b> PAN (Claimant(s)/Guardian): <input type="text"/>   <input type="checkbox"/> KYC Acknowledgment attached <input type="checkbox"/> KYC form attached
Tax Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Resident Minor (through Guardian) <input type="checkbox"/> NRI <input type="checkbox"/> PIO <input type="checkbox"/> Others (please specify)

*\*Please attach relevant proof*

I/We, the claimant(s) named hereinabove, hereby inform you about the demise of the below mentioned Securities Holder(s) and request you to transmit the securities held by the deceased holder(s) in my/our favour in my/our capacity as –  
 Nominee  Legal Heir  Successor to the Estate of the deceased  Administrator of the Estate of the deceased

Name of the deceased holder(s)	Date of demise**
1)	DD / MM / YYYY
2)	DD / MM / YYYY
3)	DD / MM / YYYY

*\*\*Please attach certified copy of Death Certificate.*

**Securiti**

**es(s) & Folio(s) in respect of which Transmission of securities is being requested**

Name of the Company	Folio No.	No. of Securities	% of Claim@
1)			
2)			
3)			
4)			



**□ FATCA and CRS information**

Country of Birth _____ Place of Birth _____	
Nationality _____	
Are you a tax resident of any country other than India? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please mention all the countries in which you are resident for tax purposes and the associated Taxpayer Identification Number and its identification type in the column below	
Country	Tax-Payer Identification Number

**Nomination<sup>@</sup>** (Please ✓ one of the options below)

<input type="checkbox"/> I/We <b>DO NOT</b> wish to make a nomination. <i>(Please tick ✓ if you do not wish to nominate anyone)</i>
<input type="checkbox"/> I/We wish to make a nomination and hereby nominate the person/s more particularly described in the <b>attached Nomination Form</b> to receive the securities held in my/our folio in the event of my / our death.

*@ Guardian of a minor is not allowed to make a nomination on behalf of the minor*

**□ Declaration and Signature of the Claimant(s)**

I/We have attached herewith all the relevant / required documents as indicated in the attached *Ready Reckoner as per Annexure A*.

I/We confirm that the information provided above is true and correct to the best of my knowledge and belief.

I/We \_\_\_\_\_ undertake \_\_\_\_\_ to \_\_\_\_\_ keep \_\_\_\_\_ (Name of the Company) / its RTA informed about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required by the RTAs.

I/We \_\_\_\_\_ hereby \_\_\_\_\_ authorize \_\_\_\_\_ (Name of the Company) and its RTA to provide/ share any of the information provided by me/us including my holdings in the (Name of the Company) to any governmental or statutory or judicial authorities/agencies as required by law without any obligation of informing me/us of the same.

Place _____	Signature of Claimant(s)
Date _____	

Documents Attached

- Copy of Death Certificate of the deceased holder
- Copy of Birth Certificate (in case the Claimant is a minor)
- Copy of PAN Card of Claimant / Guardian
- KYC Acknowledgment OR
- KYC form of Claimant
- Cancelled cheque with claimant's name printed OR  Claimant's Bank Statement/Passbook
- Nomination Form duly completed
- Annexure D - Individual Affidavits given EACH Legal Heir
- Original security certificate(s)
- Annexure E - Bond of Indemnity furnished by Legal Heirs
- Annexure F - NOC from other Legal Heirs

**\*Note:** For transmission service requests, Form ISR-4 as per SEBI circular SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022 will not be required.

(on non-judicial stamp paper of Rs.100)

**I N D E M N I T Y    B O N D**

To

The Board of Directors

\_\_\_\_\_ ( Name of the Company)

\_\_\_\_\_ ( Address of the company)

That \_\_\_\_\_ equity share of Rs.\_\_\_\_ each as per details given hereunder are registered in the name of \_\_\_\_\_ under Ledger Folio No \_\_\_\_\_ in the books \_\_\_\_\_ (Coy Name) hereinafter referred to as “the said Shares”:

Folio No	Certificate No	Distinctive Numbers		Number of Shares

The said Shares were the separate and self acquired property of the deceased we are the Class I legal heirs are entitled to the said Shares.

I/We inform you that he/she left behind him/her as his/her only surviving heirs and next of kin, the following persons, according to the Law of Intestate Succession applicable to him/her by which he/she was governed at the time of his/her death. We enclose the notarized copy of legal heir certificate

Sl N	Name	Address	Age	Relationship with the Deceased

I/We, *therefore*, request the Board of Directors of \_\_\_\_\_(Coy Name) to transmit the said Shares in the sole name/joint names of \_\_\_\_\_ and pay the unpaid dividend, *if any*, to \_\_\_\_\_, without insisting for production of Probate/Succession Certificate/Letter of Administration.

In consideration of the Board of Directors of **the Company** having agreed to comply with my/our above request on my/our executing an Indemnity in favour of **the Company** I/we, the legal heirs, hereunder for ourselves, our heirs, executors, administrators and assigns do hereby **singly, jointly** and **severally** covenant with the Company, its successors and assigns that I/we and each of our heirs, executors,

administrators and assigns will on the Company transmitting the said Shares into the sole name/joint names of \_\_\_\_\_ and paying unpaid dividend, *if any*, to \_\_\_\_\_ at all times save, defend and keep indemnified the Company, its successors and assigns, and the Directors, Company Secretary, its Officers and shareholders of the Company, their heirs, executors and assigns, from and against all actions, causes of actions, suits, proceedings, accounts, claims and demands whatsoever for or on account of the said Shares or the dividends due and payable and against all claims, damages, costs, charges, expenses and losses arising in any manner howsoever.

In witness whereof, I/we the applicant(s) herein has/have signed and set my/our hands at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 20.

**Signature(s) (To be signed by all the legal heirs)**

Witness:

(Signature, name and address)

1.

2.

(ID proof and Address proof of all Legal Heirs to enclosed, duly attested)

### Certification of Sureties

We, the undersigned, certify that the above facts are true and bind ourselves as sureties to make good all claims, charges, costs, damages, demands, expenses and losses which the said **Company** may sustain, incur or become liable for in consequences of complying with the request contained herein above and the Board of Directors of \_\_\_\_\_(Coy Name) will be entitled to realize all claims, charges, costs, damages, expenses and losses from ourselves or from our properties as the case may be.

Dated at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 20.

Signature of Surety No.1	Signature of Surety No.2
Name	Name
Address	Address
PAN No. (PAN card copy to be enclosed)	PAN No. (PAN card copy to be enclosed)
Annual Income / Assets Value Rs. (Document Proof copy to be enclosed)	Annual Income / Assets Value Rs. (Document Proof copy to be enclosed)
Witness Signature	Witness Signature
Name of the Witness	Name of the Witness
Address :	Address:

*Before Me*

Advocate and Notary  
Name, full address and official seal. Notary Stamp

**NO LITIGATION LETTER FROM LEGAL HEIRS**

To,

**The Board of Directors,**

.....

..... ( Fill the Company Name & Address)

Dear Sirs,

Re: Transmission of shares standing in the name of Late.....  
in the Folio No.....

In connection with the above, I/We \_\_\_\_\_ wish inform you that Mr./Mrs.  
..... expired on .....and was holding the following shares :

Certificate Nos.	Distinctive Nos.	No. of Shares

I/We, the undersigned, residing at.....,am/are legal heir (s) of the said deceased.

Sl N	Name	Address	Age	Relationship with the Deceased

I/We hereby confirm that here is no legal dispute inter-se and any stay, probation, injunction from Income Tax Authority or regulatory authority or the Court for transmission of the abovementioned shares. Further I/We relinquish our claim/title on the subject shares and have no objection in transmitting the same in favour of \_\_\_\_\_

Place

Date: \_\_\_\_\_  
(with complete name and address)

.....  
Signature of the Legal Heirs

Signature in the presence of

.....  
Full Name and Address of Bank Manager /

Notary Public with office seal

.....

.....  
(Signature of the Bank Manager/

..... Notary Public)

Note: This Letter of No-Litigation should be submitted by each legal heir separately,  
duly executed on Non-Judicial Stamp Paper of **Rs.50/-**

(on non-judicial stamp paper of Rs.20 )

**A F F I D A V I T**

I/We, \_\_\_\_\_, aged \_\_\_\_\_ years, mother/husband/wife/son/daughter of Late \_\_\_\_\_, \_\_\_\_\_, aged \_\_\_\_\_ years, mother/husband/wife/son/daughter of \_\_\_\_\_, \_\_\_\_\_, aged \_\_\_\_\_ years, mother/husband/wife/son/daughter \_\_\_\_\_, all residing at \_\_\_\_\_

do solemnly swear and sincerely state as under:

1. That \_\_\_\_\_ equity share of Re. \_\_ each as per details given hereunder are registered in the name of \_\_\_\_\_ under Ledger Folio No \_\_\_\_\_ in the books of \_\_\_\_\_ (Coy Name) hereinafter referred to as “the said Shares”:

Folio No	Certificate No	Distinctive Numbers	Number of Shares

2. That \_\_\_\_\_ died on \_\_\_\_\_ intestate (a copy of the Death Certificate No. \_\_\_\_\_ dated \_\_\_\_\_ issued by the \_\_\_\_\_, *duly notarized*, is enclosed).

3. That late \_\_\_\_\_ left behind the following legal heirs:

Sl N	Name	Address	Age	Relationship with the Deceased

(A copy of the legal heir ship certificate no. \_\_\_\_\_ dated \_\_\_\_\_ issued by the Tahsildar, \_\_\_\_\_ confirming the above as legal heirs of \_\_\_\_\_, *duly Notarized*, is enclosed).

4. That the said Shares were the separate and self acquired property of the deceased.

5. That all legal heirs are the beneficiaries in respect of the said Shares and they are entitled to transfer the said Shares in their favour.

6. That the deceased \_\_\_\_\_ left no other legal heirs other than those mentioned in paragraph 3 of this Affidavit and the persons mentioned in the said paragraph 3 are her only Class I legal heirs.

7. That \_\_\_\_\_, \_\_\_\_\_ and \_\_\_\_\_ hereby give his/her/their unrevokable consent to \_\_\_\_\_ (Coy Name) for transmitting the said Shares in the sole/joint name(s) of \_\_\_\_\_  
Mother/husband/wife/son/daughter of Late

8. That I/we, *therefore*, request the Board of Directors of **the Company** to transmit the said Shares standing in the name of \_\_\_\_\_ to \_\_\_\_\_  
\_\_\_\_\_ without production of Succession Certificate/Probate/Letter of Administration.

Signature(s) ( **To be signed by all the legal heirs**)

Verification

I/We, the under mentioned persons, verify that the statements contained in the above paragraphs are true to the best of my/our knowledge and belief and that nothing material has been concealed.

Dated at \_\_\_\_\_ the \_\_\_\_\_ day of \_\_\_\_\_ 20

Signature(s) ( **To be signed by all the legal heirs**)

Attestation

Solemnly affirmed before me at \_\_\_\_\_ and signed his/her/their name(s) in my presence on this the \_\_\_\_\_ day of \_\_\_\_\_ 20

**Before me**

**Advocate and Notary**  
**Notary Stamps Name, full address and official Seal**