

Simplified and Standardised Framework for Transmission of Securities

Overview

SEBI has issued a revised framework for transmission of securities vide Circular No. HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated July 23, 2026, with the objective of simplifying and standardising the transmission process and making it more investor-friendly. The circular introduces significant changes in documentation requirements and processing procedures for transmission requests arising due to the death of a holder.

Key Changes Introduced

The framework standardises documentation requirements and procedures for transmission, including:

- Removal of the mandatory requirement of Probate of Will, in line with recent amendments to succession laws.
- Introduction of a Combined Affidavit-cum-No Objection Certificate (NOC) in place of separate affidavit and NOC.
- Acceptance of a Death Certificate with QR Code as an eligible document, in addition to the original/attested copy, facilitating easier verification.
- For death certificates issued in foreign jurisdictions, additional modes of verification are permitted through overseas branches of Indian banks or foreign banks having correspondent banking relationships with Indian banks.

Categories of Transmission of Securities

Based on monetary threshold limits, the following categories have been introduced:

- Quick Transmission Processing (QTP)
- Simplified Documentation Category
- Above Threshold Category

Threshold Limits

Holding Type	QTP Threshold	Simplified Documentation Threshold	Above Threshold Category
Physical Securities	Up to ₹10,000	₹10,001 to ₹10 lakh	Above ₹10 lakh
Demat Securities	Up to ₹30,000	₹30,001 to ₹30 lakh	Above ₹30 lakh

Documentation Requirements Based on Claim Category:

Common Documents:

- Transmission request form by the claimant(s)
- Latest CML of the demat account of the claimant(s);
- Verifiable death certificate;
- Original security certificate / copy of Statement of Account (SOA), as applicable

1. Quick Transmission Processing (QTP):

- In addition to the Common Documents mentioned above, claimants may submit the following:
 - Transmission Request Form-cum-Undertaking (plain paper format)
 - Relationship proof establishing relationship with the deceased holder

Note: Permitted only for immediate relatives such as parents, spouse, children and parents-in-law.

2. Simplified Documentation Cases

- In addition to the Common Documents mentioned above, claimants may submit the following:
 - Notarised Indemnity Bond
 - Notarised affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to the securities and no objection

OR

- Family Settlement Deed duly attested by Notary Public, Gazetted Officer, or accepted and approved by a Magistrate, Judge or Civil Court.

Note: Where a Succession Certificate, Probate, Letter of Administration, or Court Decree is submitted, the indemnity bond and NOC requirements shall not be applicable.

3. Above Threshold Cases:

- In addition to common documents mentioned above, claimants may submit the following:
 - Notarised Affidavit-cum-NOC from all legal heirs confirming identification and claim of legal ownership to the securities and providing no objection

and any one of the following

Option 1

- Copy of Will, as applicable under the Indian Succession Act, 1925, along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom the securities are to be transmitted.

Option 2

- Legal Heirship Certificate or equivalent issued by the relevant authority (Revenue Authority not below the rank of Tehsildar or equivalent authority), along with a notarized indemnity bond from the legal heir(s)/claimant(s).

Option 3

- Copy of Succession Certificate; or
- Letter of Administration;
- Court Decree.

Note: In cases where court-issued documents such as Succession Certificate, Probate of Will, Letter of Administration, or Court Decree are submitted, Affidavit-cum-NOC from non-claimant legal heir(s) is not required.

Defined Processing Timeline

All complete transmission requests must be processed within 21 calendar days from receipt of all prescribed documents. In cases of rejection or delay, the reasons must be communicated to the claimant in writing.

Document Checklist

The details of common mandatory documents and additional documents are shown below for ready reference.

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
A	<u>Common documents (mandatory in all cases)</u>			
1	Transmission request form (Annexure 1 for QTP, Annexure 2 for all cases other than QTP)	✓	✓	✓
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	<u>Relationship proof - applicable for "QTP"</u>			
7	Documents evidencing relationship between the claimant and the deceased security holder (applicable only where claimant is a parent, spouse, child or parent-in-law, list available in Annexure A)	✓	—	—
8	Transmission Request Form-cum-Undertaking on plain paper as per specified format (Annexure 1)	✓	—	—

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
C	<u>Indemnity and consent - applicable for "Simplified" category</u>			
9	Notarised indemnity bond indemnifying the RTA / listed entity/AMC as may be applicable. (Annexure 3) 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. (Annexure 4) 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. <i>*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.</i>	—	✓	—
D	<u>Other documents - applicable for "Above Threshold" category</u>			
11	Notarised affidavit-cum-NOC from all* legal heirs, confirming identification and claim of legal ownership to the securities and no objection. (Annexure 4)* <i>*In case the claimant submits any court issued documents viz., Succession Certificate or Probate of</i>	—	—	✓

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
	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 <i>or</i> Legal Heirship Certificate or its equivalent issued by relevant authority. Copy of Succession certificate or Letter of Administration or Court Decree 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; <i>or</i> Copy of Succession certificate or Letter of Administration or Court Decree.	—	—	✓

In case Nomination Exists in Demat Accounts:

The nominee is required to submit:

- Transmission Request Form (Annexure 2)
- Client Master List (CML) of Nominee's Demat Account
- Verifiable Death Certificate
- Original Security Certificate / Statement of Account (SOA), where applicable

Note: No succession-related documents are required.

Relaxation for Joint Holdings

- In cases involving the death of one or more joint holders, transmission to the surviving holder(s) shall continue under the Rule of Survivorship. Only a copy of the death certificate is required, and no additional KYC, indemnity or undertaking shall be insisted upon from the surviving holder(s) for the purpose of transmission.

Additional Documents required for KRA deactivation of the deceased holder irrespective of transmission category

KRA deactivation is mandatory for all cases of transmission irrespective of the transmission category. Following documents are required for KRA deactivation, in addition to transmission documents:

- Notifier's Declaration by Nominee / Survivor / Legal Heir
- Bonafide declaration submitted by Nominee / Survivor / Legal Heir in Letterhead of Branch
- Self-attested PAN and address proof copy with Nominee / Survivor / Legal Heir's wet signature along with branch attestation and Original Seen and Verified Seal.

For any further query/assistance regarding the matter mentioned above, please send an email to dpsa@federal.bank.in or contact your nearest Federal Bank branch.

ANNEXURE 1**Transmission Request Form-cum-Undertaking for Quick Transmission Processing (QTP)**

Where No Nominee is Registered

Tick (☐→☒) the boxes wherever applicable and fill in the details legibly.

To:

Date:

The Federal Bank Ltd.
Capital Market Operations,
Operations Department, 3rd Floor,
Parackal Towers, Parur Jn.,
Thottakkattukara,
UC College P.O,
Aluva , Kerala - 683102

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
1			
2			
3			

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	<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 / 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)	☐	

PART D – 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 ☐

Aadhaar ☐

PAN Card ☐

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
1			
2			
3			
4			

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

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 2

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:

The Federal Bank Ltd.

Capital Market Operations, Operations Department, 3rd Floor,

Parackal Towers, Parur Jn., Thottakkattukara UC College PO

Aluva, Kerala – 683102

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

Sl. No.	Company / Fund Name with Scheme Name	Folio No. / DP-Client ID	No. of Securities / Units / Shares Held
1			

2			
3			
4			
5			

Part C – 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 complied / not done, KYC form with relevant supporting documents to be submitted.

Name of the Nominee(s) to be added as joint holder	Signature

Part D – 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	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 / Copy of Statement of Account (if applicable)	☐	
5	If claimant is a minor – Birth Certificate / School Leaving Certificate / Passport / Aadhaar (last four digits where DOB is available – Attested by 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 prescribed format	☐	
9	Signature of Nominee/Claimant attested only by a Notary Public or Judicial Magistrate First Class (JMFC) in lieu of banker's attestation (applicable only for transmission of units held in SOA)	☐	

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 the 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 3

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			NA	

2			NA	
---	--	--	----	--

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:

ANNEXURE 4

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.
1		
2		
3		
4		

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): _____