

Annexure A

## **READY RECKONER: DOCUMENTS REQUIRED FOR TRANSMISSION OF SECURITIES**

Sr. No.	Documents required for transmission	Sole holder deceased & nomination registered	Sole holder deceased & nomination not registered
1.	Transmission Request Form	Annexure C	Annexure C
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(s)/claimant(s)/legal heir(s), subject to verification with original by the RTA/Listed Issuer	<b>√</b>	<b>✓</b>
3.	Self-attested copy of Permanent Account Number Card of the nominee(s)/claimant(s)/legal heir(s) issued by the Income Tax Department	$\checkmark$	<b>√</b>
4.	Copy of Birth Certificate (in case the nominee/claimant/legal heir is a minor)	<b>√</b>	<b>√</b>
5.	KYC* of the Claimant Guardian (in case of nominee /claimant being a minor / of unsound mind).	<b>√</b>	<b>√</b>
6.	Original security certificate(s)	√	<b>√</b>

<sup>\*</sup>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 <b>Annexure D</b> .	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 <b>Annexure D</b> , 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 <b>Annexure E</b> ; or	NA	✓

## भारतीय प्रतिभूति और विनिमय बोर्ड Securities and Exchange Board of India

	Securities and Exchange Board or India						
	(d) Letter of Administration; or						
	(e) Court Decree; or						
	(f) Legal Heirship Certificate or its						
	equivalent, along with (i) a						
	notarized indemnity bond						
	from the legal heir						
	o(s)/claimant(s) to whom the						
	securities are transmitted, as						
	per the format specified						
	provided in <b>Annexure E</b> ; and						
	(ii) No Objection from all the						
	non-claimants, duly attested						
	by a notary public or by a						
	gazetted officer as per the						
	format provided in <b>Annexure</b>						
	F.						
	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.						
10.	For cases where the value of securities is	NA	,				
10.		IVA	✓				
	up to rupees five lakhs per listed entity as on the date of submission of complete						
	documentation 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;						
	(i) no objection certificate from all legal						
	heirs(s), in as per the format provided in						
	<b>Annexure F</b> , or copy of family settlement						
	deed executed by all the legal heirs, duly						
	attested by a notary public or by a gazetted						
	officer; and						
	(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 <b>Annexure E</b> .						