

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	√	✓
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	√
4.	Copy of Birth Certificate (in case the nominee/claimant/legal heir 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

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7.	Notarized affidavit from all legal heir(s)	NA	✓
	made on non-judicial stamp paper of		
	appropriate value on identity and claim of		
	ownership, as per the format provided in		
	Annexure D.		
8.	In case the legal heir(s)/claimant(s) are	NA	✓
	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 D ,		
	shall be sufficient.		
9.	Copy of any of the following documents:	NA	✓
	(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 E ; or		

भारतीय प्रतिभूति और विनिमय बोर्ड Securities and Exchange Board of India

	Securities and Exchange Board of 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 Annexure E ; 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 Annexure					
	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	✓			
	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					
	mentioned in point 9 above are not available, the following documents may be					
	mentioned in point 9 above are not available, the following documents may be submitted;					
	mentioned in point 9 above are not available, the following documents may be submitted; (i) no objection certificate from all legal					
	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					
	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 Annexure F , or copy of family settlement					
	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 Annexure F , or copy of family settlement deed executed by all the legal heirs, duly					
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	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 Annexure F , 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					
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	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 Annexure F , 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					