SEBI circular HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated 23 July 2026

Transmission of Securities — Claim Kit

How to claim the holdings of a deceased account holder. These are the standard formats prescribed by SEBI; PCJ Holdings uses them as issued.

To: PCJ Holdings Pvt. Ltd. · 803, Nirmal Tower, Barakhamba Road, Connaught Place, New Delhi – 110 001 · 011-4351 2500 · askus@pcjholdings.in
SEBI Regn. INZ000068536 · NSE 13096 · BSE 6356 · MCX 57170 · NSDL DP IN-DP-279-2016 · DP ID IN303913 · AMFI ARN-63632 · APMI APRN-07054

WHICH FORM DO YOU NEED?

Situation	What to submit
A joint holder has died	Surviving joint holder(s): only a copy of the death certificate with the request letter on page 2. No other documents, KYC, indemnity or undertaking are needed.
Sole holder (or all holders) died — nominee registered	Nominee(s): Transmission Request Form (Annexure-3) with documents 1 to 9 of its checklist.
No nominee — value up to ₹30,000 (demat)	Quick Transmission Processing (QTP), only for immediate relatives (parents, spouse, children, parents-in-law): Form-cum-Undertaking (Annexure-2) on plain paper with relationship proof.
No nominee — value up to ₹30 lakh (demat)	Simplified documentation: Annexure-3 with documents 1 to 11 — notarised Indemnity Bond (Annexure-4) and Affidavit-cum-NOC from all legal heirs (Annexure-5), or a family settlement deed.
No nominee — value above ₹30 lakh (demat)	Annexure-3 with documents 1 to 9, 12 and 13 — Affidavit-cum-NOC (Annexure-5) and one succession document (Will with indemnity, legal heirship certificate with indemnity, or succession certificate / letter of administration / court decree).

GOOD TO KNOW

- Value is worked out by you on the previous closing price of the securities on any recognised stock exchange.
- **Verifiable death certificate:** the original, or a copy attested by the nominee and verified with the original; or a copy attested by a notary public, Gazetted Officer or Judicial Magistrate First Class; or a death certificate with a QR code.
- Where a succession certificate, probate, letter of administration or court decree is given, the indemnity bond and the NOC from non-claimant legal heirs are not needed.
- The indemnity bond and affidavit-cum-NOC are executed on non-judicial stamp paper of the value applicable in the State where the claimant resides.
- This framework does not apply where there is a dispute or competing claims; such cases must be settled through legal proceedings.
- **Our timeline:** we acknowledge your claim and tell you at once if anything is missing, and complete the transmission within 21 calendar days of receiving all documents. If we delay or reject a claim, we give you the reasons in writing.
- Each nominee receives the assets as trustee on behalf of the legal heirs of the deceased holder.

Need help? Call 011-4351 2504 (DP desk) or write to help@pcjholdings.in. Please also see our Intimation of Demise form.

Rule of survivorship · SEBI circular HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated 23 July 2026

Request by Surviving Joint Holder(s)

For deletion of the name of a deceased joint holder and transmission to the surviving holder(s).

Date (DD/MM/YYYY)

To: PCJ Holdings Pvt. Ltd. · 803, Nirmal Tower, Barakhamba Road, Connaught Place, New Delhi – 110 001 · 011-4351 2500 · askus@pcjholdings.in
SEBI Regn. INZ000068536 · NSE 13096 · BSE 6356 · MCX 57170 · NSDL DP IN-DP-279-2016 · DP ID IN303913 · AMFI ARN-63632 · APMI APRN-07054

DP ID: I N 3 0 3 9 1 3

Client ID

Date of death

Name of the deceased joint holder

PAN of the deceased

I / We, the surviving joint holder(s) of the above account, inform you of the demise of the joint holder named above and request you to transmit the securities held in the account to my / our name(s) as the surviving holder(s). A copy of the death certificate is enclosed.

Target DP ID (if different)

Target Client ID (if different)

Surviving holder 1	Surviving holder 2	Surviving holder 3
Signature	Signature	Signature
Name	Name	Name

Enclosure: ☐ Copy of the death certificate of the deceased joint holder

FOR OFFICE USE

Received on	Death certificate verified by	Transmitted on

Annexure-3 · SEBI circular HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated 23 July 2026

Transmission Request Form

Date (DD/MM/YYYY)

(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: PCJ Holdings Pvt. Ltd. · 803, Nirmal Tower, Barakhamba Road, Connaught Place, New Delhi – 110 001 · 011-4351 2500 · askus@pcjholdings.in
SEBI Regn. INZ000068536 · NSE 13096 · BSE 6356 · MCX 57170 · NSDL DP IN-DP-279-2016 · DP ID IN303913 · AMFI ARN-63632 · APMI APRN-07054

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

S. No.	Company / Fund name with scheme name	Folio no. / DP ID – Client ID	No. of securities / units held	Certificate no. (physical only)	Distinctive nos. from – to (physical only)
1					
2					
3					

PART C – OTHER INFORMATION ABOUT NOMINEE / LEGAL HEIR / CLAIMANT

contact details: all claims

☐ KYC acknowledgement attached ☐ KYC form attached

Tax status: ☐ Resident Individual ☐ Resident Minor (through Guardian) ☐ NRI ☐ PIO / OCI ☐ Others

Mobile no.

Tel. no. (STD – number)

E-mail address

Above mobile belongs to: ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter

Above e-mail belongs to: ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter

Address (please note that address will be updated as per claimant's address on KYC form / KYC Registration Agency records)

Address line 1

Address line 2

City

State

PIN

Bank account details of the claimant

Bank name

Account no.

11-digit IFSC

A/c type: ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR

9-digit MICR no.

Name of bank and branch

City

PIN

Please attach and tick: ☐ Cancelled cheque with claimant's name printed ☐ Claimant's bank statement / passbook

PART D – CONSENT BY OTHER NOMINEE(S) TO BE ADDED AS JOINT HOLDER(S)

only for claims submitted by a 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 / PEKRN	KYC compliance*

if KYC not compliance/not done, KYC form with relevant supporting documents to be submitted.

I / We hereby provide my / our consent to add me / us as Joint Holder in the new transmission folio where claimant would be the first holder.

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

PART E – 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.

Place

Date

Signature	Signature	Signature
Claimant signature	**Claimant signature**	**Claimant signature**
Name	Name	Name

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 or School leaving certificate/ Passport or last four digits of 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	Nomination Form or Nomination Opt-Out form		
8	FATCA-CRS Declaration in a prescribed format		
9	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)		
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 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.		

- For claim submitted by nominee, only documents specified at serial no. 1-9 shall be submitted.
- For claim submitted by legal heir(s)/claimant(s) under "Simplified" category, documents specified at serial no. 1-11, as applicable, shall be submitted.
- 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-2 · to be submitted on plain paper · SEBI circular HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated 23 July 2026

Quick Transmission Processing (QTP)

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.

Date (DD/MM/YYYY)

To: PCJ Holdings Pvt. Ltd. · 803, Nirmal Tower, Barakhamba Road, Connaught Place, New Delhi – 110 001 · 011-4351 2500 · askus@pcjholdings.in
SEBI Regn. INZ000068536 · NSE 13096 · BSE 6356 · MCX 57170 · NSDL DP IN-DP-279-2016 · DP ID IN303913 · AMFI ARN-63632 · APMI APRN-07054

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 (name of legal heir(s))

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 ID – Client ID	No. of securities / units held	Certificate no. (physical only)	Distinctive nos. from – to (physical only)
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 PCJ Holdings Pvt. Ltd. (Depository Participant) with a request to transmit the aforesaid securities in the name of the undersigned, on my/our behalf. I/We, am/are furnishing the documents as mentioned below for transmission of the securities in our name:

Name(s) of the legal heir(s) / claimant(s) in whose name the securities are to be transmitted

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 / Statement of Account (if applicable).		

S. No.	Document	Submitted	Remarks
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 – OTHER INFORMATION ABOUT CLAIMANT

☐ KYC acknowledgement attached ☐ KYC form attached

Tax status: ☐ Resident Individual ☐ Resident Minor (through Guardian) ☐ NRI ☐ PIO / OCI ☐ Others

Mobile no. | Tel. no. (STD – number) | E-mail address

Above mobile belongs to: ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter

Above e-mail belongs to: ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter

Address (please note that address will be updated as per claimant's address on KYC form / KYC Registration Agency records)

Address line 1

Address line 2

City | State | PIN

Bank account details of the claimant

Bank name | Account no. | 11-digit IFSC

A/c type: ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR

9-digit MICR no. | Name of bank and branch | City | PIN

Please attach and tick: ☐ Cancelled cheque with claimant's name printed ☐ Claimant's bank statement / passbook

PART E – 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.

Place | Date

Signature	Signature	Signature
Claimant(s) signature	**Claimant(s) signature**	**Claimant(s) signature**
Name	Name	Name

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):

- ☐ Birth certificate which lists the parent's name
- ☐ School leaving certificate
- ☐ School records / service records
- ☐ Passport
- ☐ Marriage Certificate
- ☐ Ration Card
- ☐ Voter ID
- ☐ Aadhar
- ☐ Permanent Account Number
- ☐ 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

non-judicial stamp paper; notarised / attested by Gazetted Officer or JMFC

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") named below held the following securities:

Name of the deceased holder _____

S. No.	Company / Fund name with scheme name	Folio no. / DP ID – Client ID	No. of securities / units held	Certificate no. (physical only)	Distinctive nos. from – to (physical only)
1					
2					
3					

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	Relationship with the deceased
1				
2				
3				

That among the aforesaid legal heirs, Master / Kumari _____ aged (years) _____ is a minor represented by Mr./Ms. (guardian — father / mother / legal guardian) _____

Signature of the Deponent _____

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 and Regn. No. _____

** strikeout whichever is not applicable*

Annexure-4 · non-judicial stamp paper · SEBI circular HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated 23 July 2026

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: PCJ Holdings Pvt. Ltd. · 803, Nirmal Tower, Barakhamba Road, Connaught Place, New Delhi – 110 001 · 011-4351 2500 · askus@pcjholdings.in
SEBI Regn. INZ000068536 · NSE 13096 · BSE 6356 · MCX 57170 · NSDL DP IN-DP-279-2016 · DP ID IN303913 · AMFI ARN-63632 · APMI APRN-07054

Note: To be executed in the presence of a Notary Public / Judicial Magistrate First Class (JMFC) / Gazetted Officer. To be submitted on Non-Judicial Stamp Paper of appropriate value, as applicable in the relevant State where the claimant resides.

Asset type — 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") named below was the sole holder of the following securities / mutual fund units:

Name of the deceased security / unit holder

S. No.	Name of Company / Mutual Fund Scheme	Client ID / DP ID / Folio No. / Certificate No.	Distinctive No. from – to (if applicable)	No. of Securities / Units / shares held
1				
2				
3				
4				

PART B – BASIS OF SUCCESSION AND DETAILS OF LEGAL HEIR(S)

That the aforesaid deceased holder died on (date)

without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of (please tick one of the checkboxes, as applicable):

☐ 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.

S. No.	Name of Legal Heir(s) / Claimant(s)*	Address and contact details	Age	Relationship with the deceased
1				
2				
3				
4				

**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 AND INDEMNITY

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein, have approached PCJ Holdings Pvt. Ltd. (Depository Participant) with a request to transfer/transmit the aforesaid securities/units in the name of the undersigned legal heir(s)/claimant(s) named below (#), 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.

(#) Name(s) of the legal heir(s) / claimant(s)

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 witnesses named below have hereunto set their respective hands and seals on the date given. Signed and delivered by the said legal heir(s).

Witness 1 — Mr./Ms. (name)

Signature

Witness 2 — Mr./Ms. (name)

Signature

Day

Month and year

No.	Name of the Legal Heir(s) / Claimant(s)	Signature of the Legal Heir(s) / Claimant(s)
1		
2		
3		

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 and Registration No. of Notary

Annexure-5 · non-judicial stamp paper · SEBI circular HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated 23 July 2026

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).

To: PCJ Holdings Pvt. Ltd. · 803, Nirmal Tower, Barakhamba Road, Connaught Place, New Delhi – 110 001 · 011-4351 2500 · askus@pcjholdings.in
SEBI Regn. INZ000068536 · NSE 13096 · BSE 6356 · MCX 57170 · NSDL DP IN-DP-279-2016 · DP ID IN303913 · AMFI ARN-63632 · APMI APRN-07054

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).

Asset type — Securities (Shares / Debentures / Bonds / Mutual Fund units etc.) held in:
☐ Physical mode / Statement of Account (SOA) ☐ Demat mode

PART A – DEPONENT(S)

I / We (name of deponents) _____ 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 the date given below without registering any nominee.
   Date of death _____
3. Basis of succession (applicable only for cases above threshold category) — as ticked below.
   ☐ 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.	Distinctive No. from – to (if applicable)	No. of Securities / Units held
1				
2				
3				
4				

PART D – DETAILS OF LEGAL HEIRS (INCLUDING NON-CLAIMANTS)

S. No.	Name of Legal Heir(s)	Address and contact details	Age	Relationship with deceased
1				
2				
3				

S. No.	Name of Legal Heir(s)	Address and contact details	Age	Relationship with deceased
4				

PART E – DETAILS OF CLAIMANT(S)

S. No.	Name of Claimant	Address and contact details	Age	Relationship with deceased
1				
2				

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
Claimant 1

Signature
Claimant 2

Signature
Claimant 3

Signature
Non-claimant legal heir 1 **

Signature
Non-claimant legal heir 2 **

Signature
Non-claimant legal heir 3 **

** 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)