

**Transmission of Physical Shares where Sole holder deceased & nomination is not registered**

**For transmission of dematerialized shares, the shareholders are requested to contact their respective Depository Participants (DP) where their demat account is maintained.**

**Documents required for transmission of physical shares:**

1. Transmission Request Form - in Form ISR-5 (**Annexure-1**) duly signed by the legal heir(s)/ Claimant(s) along with the KYC documents in form ISR-1 (**Annexure-2**).
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 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
4. Copy of Birth Certificate (in case the claimant/legal heir is a minor)
5. KYC\* of the Claimant Guardian (in case of claimant being a minor / of unsound mind).
6. Original security certificate(s)
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 – (**Annexure-3**).
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), an Affidavit from such legal heir(s)/claimant(s), duly Notarised and as per the format provided in (**Annexure-3**), shall be sufficient.
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 (**Annexure-4**); or
  - 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(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-5**).

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 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), as per the format provided in (**Annexure-5**) on non-judicial stamp paper of the value applicable in the state where the documents is executed, 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 the value applicable in the state where the documents is executed, indemnifying the Share Transfer Agent/listed entity, in as per the format provided in (**Annexure-4**).

#### **NOTE**

- \*If not KYC compliant
- Attestation of photocopies / xerox copies should be done by a Magistrate/Notary Public/ Special Executive Magistrate or a similar authority holding a public office and authorised to use the seal of this office.
- Notarised documents should also contain Notary Serial no. / Register no. etc. as per the provisions of the Notaries Rules, 1956.

#### **The above Documents to be sent to RTA on the below mentioned address**

M/s XL Softech Systems Ltd.,  
3, Sagar Society, Road No.2  
Banjara Hills,  
Hyderabad 500 034  
Telangana State

Phone Nos.040-23545913 /14 /15  
Fax No.040-23553214  
Email: [xlfield@gmail.com](mailto:xlfield@gmail.com)

#### **Procedure:**

1. The Shareholder has to approach a Depository Participant (DP) for opening a demat account.

2. After opening the demat account the shareholder has to submit request letter in ISR-5 along with the KYC documents in form ISR-1 together with the above mentioned documents to the RTA.
3. After certain internal processes and approval from the appropriate authorities(s) and as per SEBI Circular dated 18.05.2022, RTA will send the Letter of Confirmation (LOC) to the legal heir(s)/claimant(s) and retain the Physical share certificate and deface the certificate with a stamp "Letter of Confirmation Issued" on the face / reverse of the certificate.
4. The LOC will be valid for 120 days from the date of its issue, within which the shareholder shall make a request to the DP for dematerializing the said securities.
5. DP shall generate the demat request on the basis of LOC and forward the same to the Issuer Company / RTA for processing the demat request.
6. After receiving the demat request form from DP, the RTA will process the same and credit the shares to the demat account of the applicant.
7. The RTA / Issuer Companies shall issue a reminder after the end of 30 days, 60 days and 90 days from the date of issuance of LOC, informing the applicant to submit the demat request as above, in case no such request is received by the RTA / Issuer Company.
8. **In case the Shareholder fails to submit the demat request within the aforesaid period of 120 days from the date of issue of LOC, RTA / Issuer Company shall credit the securities to the Suspense Escrow Demat Account of the Company. The Shares can subsequently be claimed back by the shareholder by applying in the format in Form ISR-4 by ticking the appropriate service request.**

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

**Annexure-1 –  
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*	
[Multiple PAN may be entered] 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 – <input type="checkbox"/> Nominee <input type="checkbox"/> Legal Heir <input type="checkbox"/> Successor to the Estate of the deceased <input type="checkbox"/> Administrator of the Estate of the deceased	
<b>Name of the deceased holder(s)</b>	<b>Date of demise**</b>
1)	DD / MM / YYYY
2)	DD / MM / YYYY
3)	DD / MM / YYYY

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

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

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

*@As per Nomination OR as per the Will/Probate/Succession Certificate/Letter of Administration/ Legal Heirship Certificate (or its equivalent certificate)/ Court Decree, if applicable.*

**Contact details of the Claimant (s) [Provision for multiple entries may be made]**

<b>Mobile No. +91</b> <input type="text"/>	<b>Tel. No. STD -</b> <input type="text"/>
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**Email Address**

**Address** (Please note that address will be updated as per 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 branch

City  
PIN ||| ||| |||

Please attach & tick✓ ☐ Cancelled cheque with claimant's name printed OR ☐ Claimant's Bank Statement/Passbook (duly attested by the Bank Manager)

**I also request you to pay the UNCLAIMED amounts, if any, in respect of the deceased securities holder(s) by direct credit to the bank account mentioned above.**

**Additional KYC information** (Please tick✓ whichever is applicable)

**Occupation** ☐ Private Sector Service ☐ Public Sector Service ☐ Government Service  
☐ Business ☐ Professional  
☐ Agriculturist ☐ Retired ☐ Home Maker ☐ Student ☐ Forex Dealer ☐ Others  
(Please specify)

The Claimant is ☐ a Politically Exposed Person ☐ Related to a Politically Exposed Person ☐ Neither (Not applicable)

**Gross Annual Income (₹)** ☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs-1crore ☐ >1 crore

**FATCA and CRS information**

Country of Birth \_\_\_\_\_ Place of Birth \_\_\_\_\_  
Nationality \_\_\_\_\_

Are you a tax resident of any country other than India? ☐ Yes ☐ 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	Identification Type

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

☐ I/We **DO NOT** wish to make a nomination. *(Please tick ✓ if you do not wish to nominate anyone)*

☐ I/We wish to make a nomination and hereby nominate the person/s more particularly described in the **attached Nomination Form** 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.

# Form ISR – 1







(see SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2021/655 dated November 03, 2021 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

**REQUEST FOR REGISTERING PAN, KYC DETAILS OR CHANGES / UPDATION THEREOF**

[For Securities (Shares / Debentures / Bonds, etc.) of listed companies held in physical form]

Date:     /     /

**A.** I / We request you to Register / Change / Update the following (Tick ✓ relevant box)

 PAN	 Bank details	 Signature
 Mobile number	 E-mail ID	 Address

### B. Security Details:

Name of the Issuer Company	Folio No.:	
Name(s) of the Security holder(s) as per the Certificate(s)	1.	
	2.	
	3.	
Number & Face value of securities		
Distinctive number of securities (Optional)	From	To

**C. I / We are submitting documents as per Table below (tick ✓ as relevant, refer to the instructions):**

✓		Document / Information / Details	Instruction / Remark
1	PAN of (all) the (joint) holder(s)		
	PAN	<div> <div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div> </div> <div> <div>,</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div> </div>	
	Whether it is Valid (linked to Aadhaar): <input type="checkbox"/> Yes <input type="checkbox"/> No	<div> <div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div> </div> <div>           PAN shall be valid only if it is linked to Aadhaar by March 31, 2022*            For Exemptions / Clarifications on PAN, please refer to Objection Memo in page 4         </div>	
2	Demat Account Number	<div> <div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div> </div> <div> <div>,</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div><div>?</div> </div> <div>           Also provide Client Master List (CML) of your Demat Account, provided by the Depository Participant.         </div>	

3	Proof of Address of the first holder	<p>Any one of the documents, only if there is change in the address;</p> <p><input type="checkbox"/> Client Master List (<b>CML</b>) of your Demat Account, provided by DP.</p> <p><input type="checkbox"/> Valid Passport/ Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill.</p> <p><input type="checkbox"/> Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.</p> <p><input type="checkbox"/> Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions.</p> <p><input type="checkbox"/> For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.</p> <p><input type="checkbox"/> The proof of address in the name of the spouse</p>
4	Bank details	<p>Account Number: _____</p> <p>Bank Name: _____</p> <p>Branch Name: _____</p> <p>IFS Code: _____</p> <p>Provide the following:</p> <p><input type="checkbox"/> <u>original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement attested by the Bank</u> #</p>
5	E-mail address	_____#
6	Mobile	_____#

\* or any date as may be specified by the CBDT

(DP: Depository Participant)

# In case it is not provided, the details available in the CML will be updated in the folio

**Authorization:** I / We authorise you (RTA) to update the above PAN and KYC details in my / our folio (s) \_\_\_\_\_, \_\_\_\_\_, (use Separate Annexure if extra space is required) in which I / We are the holder(s) (strike off what is not applicable).

**Declaration:** All the above facts stated are true and correct.

	Holder 1	Holder 2	Holder 3
Signature	•		
Name	•		
Full address	•		
PIN	• " <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>



## Mode of submission of documents to the RTA

Please use any one of the following mode;

1. In Person Verification (IPV): by producing the originals to the authorized person of the RTA, who will retain copy(ies) of the document(s)
2. In hard copy: by furnishing self-attested photocopy(ies) of the relevant document, with date
3. Through e-mail address already registered with the RTA, with e-sign of scanned copies of documents
4. Service portal of the RTA with e-sign with scanned copies of documents, if the RTA is providing such facility

### Note

<ul style="list-style-type: none"><li>• It is mandatory for holders of physical securities in listed company to furnish PAN, full KYC details (address proof, bank details, e-mail address, mobile number) and Nomination (for all the eligible folios).</li></ul>	
<ul style="list-style-type: none"><li>• Upon receipt or up-dation of bank details, the RTA will automatically, pay electronically, all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.</li></ul>	
<ul style="list-style-type: none"><li>• RTA shall update the folio with PAN, KYC details and Nominee, within seven working days of its receipt. However, cancellation of nomination, shall take effect from the date on which this intimation is received by the company / RTA.</li></ul>	
<ul style="list-style-type: none"><li>• RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.</li></ul>	
<ul style="list-style-type: none"><li>• Specimen Signature</li></ul>	<ul style="list-style-type: none"><li>• Provide banker's attestation of the signature of the holder(s) as per <a href="#">Form ISR – 2</a> in <a href="#">SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655 dated November 03, 2021</a>) and</li><li>• <u>original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement</u> attested by the Bank</li></ul>
<ul style="list-style-type: none"><li>• Nomination**</li></ul>	<ul style="list-style-type: none"><li>• Providing Nomination: Please submit the duly filled up Nomination Form (<a href="#">SH-13</a>) or 'Declaration to Opt out of Nomination' as per <a href="#">Form ISR-3</a>, in <a href="#">SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/ CIR/2021/655 dated November 03, 2021</a></li><li>• Change in Existing Nomination: Please use <a href="#">Form SH-14</a> in <a href="#">SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655</a></li><li>• Cancellation of Existing Nomination: use <a href="#">Form SH-14</a> &amp; <a href="#">Form ISR – 3</a></li></ul>

\*\* Nomination (**Form SH-13 or SH-14**) / 'Declaration to Opt-Out of nomination' (**Form ISR – 3**), has to be furnished by the holder(s) separately for each listed company.

*(Page 3 & 4 is for information to investors; print out of the same is not required)*

## Objection Memo that can be raised by the RTA

(only if the relevant document / details is / are not available in the folio or if there is a mismatch / discrepancy in the same or change thereof)

### Note

RTAs shall raise all objections, if any / at all, in one instance only; the RTA shall not raise further objections on the same issue again and again, after the holder / claimant furnishes all the prescribed documents and details, unless there is any deficiency / discrepancy in the same.

No.	Item	Documents / Details to be provided to the RTA by the holder(s) / claimant(s)
1	PAN – Exceptions and Clarification	‘Exemptions/clarifications to PAN’, as provided in clause D to ‘Instructions/Check List for Filing KYC Forms’ in Annexure – 1 to <a href="#">SEBI circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011</a> on Uniform Know Your Client (KYC) Requirements for the Securities Market, shall also applicable for holder(s) / claimant(s) of securities held in physical mode.
2	Minor mismatch in Signature - minor	The RTA shall intimate the holder at the existing address, seeking objection, if any, within 15 days
3	Major mismatch in Signature or its non-availability with the RTA	<ul style="list-style-type: none"> <li>Banker’s attestation of the signature of the holder(s) as per <a href="#">Form ISR – 2</a></li> <li><u>Original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement attested by the Bank</u></li> </ul>
4	Mismatch in Name	<p>Furnish any one of the following documents, explaining the difference in names;</p> <ul style="list-style-type: none"> <li>Unique Identification Number (UID) (Aadhaar)</li> <li>Valid Passport</li> <li>Driving license</li> <li>PAN card with photograph</li> <li>Identity card / document with applicant’s Photo, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions</li> <li>Marriage certificate</li> <li>Divorce decree</li> </ul>
5	Present address of the holder is not matching with the address available in the folio	<p>RTA shall issue intimation to both the old and new addresses.</p> <ul style="list-style-type: none"> <li>In case where the letter is undelivered at the old address, RTA shall not insist for any proof of the old address provided the current address proof is in the form of an address proof issued by a Government Authority.</li> </ul> <p>The above procedure will be applicable for request for change in address of the holder also</p>

*(Page 3 & 4 is for information to investors; print out of the same is not required)*

**Individual Affidavits to be given by ALL the Legal Heirs OR Legal Heirs named in Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of Administration\*/ Legal Heirship Certificate\*(or its equivalent certificate)\*/Court Decree\***

**(For Transmission of securities on death of Sole Holder where NO NOMINATION has been registered)**

*Each Deponent (legal heir) shall sign separate Affidavits.*

(To be executed on a non-judicial stamp of appropriate value and Notarized)

I, \_\_\_\_\_ Son /  
daughter \_\_\_\_\_ of

residing \_\_\_\_\_ at

\_\_\_\_\_ do hereby solemnly affirm and state on oath  
as follows.

That Mr. /Mrs \_\_\_\_\_ @ ("the  
deceased holder") held the following securities in his / her name as single  
holder:

Company Name	Folio No.	No. of securities held
1)		
2)		
3)		

- ☐ That the aforesaid deceased holder died *intestate* leaving behind him/her, the following persons as the only surviving heirs as per the Succession Certificate/ Legal Heirship Certificate(or its equivalent certificate)/Court Decree dated \_\_\_\_\_/ according to the Law of Intestate Succession by which he/she was governed at the time of his/her death and without registering any nominee. \*

OR

- ☐ That the aforesaid deceased holder died leaving behind the following persons as the legatees as per the Will/ Probated Will/ Letter of Administration dated \_\_\_\_\_and without registering any nominee. \*

A copy of the **Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of Administration\*/ Legal Heirship Certificate\*(or its equivalent certificate)\*/ Court Decree\*** is attached herewith.

Name of the Legal Heir(s)	Address and contact details	Age	Relation with the Deceased
1)			
2)			
3)			

That among the aforesaid legal heirs, Master/ Kum. \_\_\_\_\_ aged \_\_\_\_\_ years is a minor and is being represented by Mr./Ms. \_\_\_\_\_ \$ being his / her father / mother / legal guardian.

Signature of the Deponent:

X \_\_\_\_\_

### **VERIFICATION**

I 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:**

X \_\_\_\_\_

### **Signed before me**

Place: \_\_\_\_\_

Date : \_\_\_\_\_

X \_\_\_\_\_  
Signature of Notary with Official Seal  
of Notary & Regn. No.

\* *strikeout whichever is not applicable*

# = *Name of the legal heir* @ = *Name of the deceased security holder*

\$ = *Name of the Guardian*

Note: ***To be executed in the presence of a Public Notary / Gazetted Officer***

**Bond of Indemnity to be furnished jointly by all Legal Heir(s) including the Claimant(s)**  
**(To be submitted on Non-judicial Stamp Paper of appropriate value)**

**[For Transmission of Securities on death of Sole Securities' Holder, where no nomination has been registered]**

I/We do hereby solemnly affirm and state on oath as follows:

That Mr. /Ms. \_\_\_\_\_ *Name of the deceased holder* was holding the following securities:

Name of the Company	Certificate No.	Distinctive No.	Folio No.	No. of securities held
1				
2				
3				
4				

That the aforesaid deceased holder died *intestate* 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 applicable to him/her by which he/she was governed at the time of his/her death.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			
2			
3			
4			

OR

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 testamentary succession.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			
2			
3			

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein has/have, approached \_\_\_\_\_ (Name of the Company/RTA) 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, without insisting on production of a Succession Certificate/ Probate of Will / Letter of Administration or any Court order, for which we execute an indemnity as is herein contained and on relying on the information herein given by us, believing the same to be true.

In consideration therefore of my/our request to transfer/transmit the above said securities to the name of the undersigned Mr. /Ms. [Name(s) of the legal heir(s)/claimant(s)] #,

I/We hereby jointly and severally agree and undertake to indemnify and keep indemnified, saved, defended, harmless, [Name of the Company/ Issuer and any RTA] and its successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which they may suffer and/or incur by reason of transferring the said securities as herein above mentioned, at my/our request to the undersigned Mr./Ms. [Name(s) of the legal heir(s)/claimant(s)] #, without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court order.

IN WITNESS WHEREOF the said 1) Mr. /Ms. \_\_\_\_\_ (Name and signature of the witness) \_\_\_\_\_

And 2) Mr. /Ms. \_\_\_\_\_ Name and signature of the witness #, have hereunto set their respective hands and seals this day of \_\_\_\_\_ Signed and delivered by the said legal heir/s.

Name the Legal Heirs	Signature of the Legal Heirs
1	X
2	X
3	X

(\*) = Name of the deceased security holder (#) = Name of the claimant/s

**Signed before me**

at: \_\_\_\_\_

on: \_\_\_\_\_

Signature of Notary

Official stamp & seal of the Notary & Regn. No.:

Note: ***To be executed in the presence of a Public Notary / Gazetted Officer***

[To be submitted in non-judicial stamp paper of appropriate value]

### **No-Objection Certificate from the Legal Heir(s)**

**Format of NOC from other Legal Heir(s) for Transmission of Securities in favour of the Claimant(s) wherein the Sole Holder is deceased and NO NOMINATION has been registered**

#### **DECLARATION**

I/We, the legal heir(s) of late Mr. / Ms \_\_\_\_\_ (name of the deceased holder) declare as follows –

- (i) That the above named deceased holder was holding the following securities in his / her name as single holder:

Name of the Company	Folio No.	No. of securities held
1)		
2)		
3)		

- (ii) That the deceased had died intestate on D D / M M / Y Y Y Y .and without registering any nominee.
- (iii) That the following Claimant(s) has/have applied for the transmission of the aforesaid securities:

Name of the Claimant(s)	Address and contact details	Age	Relationship with the deceased
1)			
2)			
3)			

- (iv) That I / We are the legal heir(s) of the deceased holder, apart from the Claimant(s) who has/ have applied for transmission of the aforesaid securities and our details are as follows:

Name of the Legal Heir(s)	Address and contact details	Age	Relationship with the deceased
1)			
2)			
3)			

(v) I / we hereby declare that, I / we do not desire to make any claim in respect of the title to the aforesaid securities held by the deceased and I / we hereby wilfully relinquish & renounce all my /our rights in respect of the aforesaid securities and shall have no legal claim upon said securities in future.

(vi) Accordingly, I / we declare that I / we have NO OBJECTION WHATSOEVER in \_\_\_\_\_ (Name of the Company) transmitting the aforesaid securities in favour of the Claimant(s) Mr. / Ms. \_\_\_\_\_.

(vii) I / we hereby state that whatever is stated herein above are true to the best of my/our knowledge and nothing has been concealed therein.

Name(s) and Signature(s) of Legal Heir(s) who are Non – Claimant(s):

1) \_\_\_\_\_  
2) \_\_\_\_\_  
3) \_\_\_\_\_

### VERIFICATION

We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the above mentioned securities.

Solemnly affirmed at \_\_\_\_\_

Deponent(s) (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_