

## **Key documentation for Transmission of shares**

Ref: Circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/65 dated May 18, 2022  
relating to Transmission of Securities:

### **A. Securities held in a single name with nomination:**

1. Duly signed [transmission request form](#) by the nominee;
2. Original Death Certificate or copy of death certificate attested by the nominee subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer; and
3. Self-attested copy of PAN Card of nominee, issued by the Income Tax Department.

### **B. Securities held in a single name without nomination where value of securities is up to Rupees Five lakhs per listed entity for securities held in physical mode as on the date of application for transmission by the claimant:**

1. Duly signed [transmission request form](#) by the legal heir(s)/claimant(s).
  2. Original death certificate or copy of death certificate attested by the legal heir(s)/claimant(s) subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer.
  3. Self-attested copy of PAN Card of legal heir(s) /claimant(s), issued by the Income Tax Department.
  4. A notarized [affidavit](#) from each legal heir(s) made on non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the securities (in case the legal heir(s)/claimant(s) are named in 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) alone shall be sufficient);
  5. Succession Certificate or Probate of Will\* (or) Will\*\* (or) Letter of Administration (or) Court Decree (or) Legal Heirship Certificate (or its equivalent)\*\*.
- a. notarized [indemnity bond](#) made on non-judicial stamp paper of appropriate value in the prescribed format indemnifying the Share Transfer Agent/ listed entity:
- b. [no objection certificate](#) from all legal heir(s) stating that they do not object to such transmission in the prescribed format or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer.
6. In case of non-availability of documents mentioned in Para 5, the following shall be submitted along with documents mentioned in Para 1 to 4;
- a. notarized [indemnity bond](#) made on non-judicial stamp paper of appropriate value in the prescribed format indemnifying the Share Transfer Agent/ listed entity:

b. no objection certificate from all legal heir(s) stating that they do not object to such transmission in the prescribed format or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer.

**C: Securities held in a single name without nomination where value of securities exceeds Rupees Five lakhs per listed entity for securities held in physical mode as on the date of application for transmission by the claimant:**

1. Duly signed transmission request form by the legal heir(s)/claimant(s).
2. Original death certificate or copy of death certificate attested by the legal heir(s) / claimant(s) subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazette officer.
3. Self-attested copy of PAN Card of legal heir(s) / Claimant(s), issued by the Income Tax Department.
4. A notarized affidavit from each legal heir(s) made on non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the securities. (In case the legal heir(s) / claimant(s) are named in 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) alone shall be sufficient);
5. Succession Certificate or Probate of Will\* or Will\*\* or Letter of Administration or Court Decree or Legal Heirship Certificate (or its equivalent)\*\*\*.

*\* Probate of Will shall be only insisted on, if applicable in terms of Indian Succession Act, 1925.*

*\*\* Will duly executed in terms of Indian Succession Act, 1925 shall be accompanied with a notarized indemnity bond from the legal heir(s) / claimant(s) to whom the securities are transmitted)*

*\*\*\*Legal Heirship Certificate (or equivalent certificate) to be accompanied with:*

- a. A notarized indemnity bond from the legal heir(s) / claimant(s) to whom the securities are transmitted, in the prescribed format
- b. No Objection certificate from all non-claimants (remaining legal heirs), stating that they have relinquished their rights to the claim for transmission of securities, duly attested by a notary public or by a gazetted officer, in the prescribed format

**You are requested to send us duly filled in ISR-2, ISR-3 (or) SH-13 along with Self Attested proofs with date of attestation, in support of your Transmission Request Form mentioned under Sl.No.1 above. These forms can be downloaded from [https://www.integratedindia.in/Corporate\\_Container.aspx](https://www.integratedindia.in/Corporate_Container.aspx) and by clicking on "RTA/STA".**

**WHEREVER SELF ATTESTATION IS REQUIRED, IT SHOULD BE WITH DATE OF ATTESTATION**