UNIFI CAPITAL
Investing With Conviction

# Annexure-1: Simplified Grid for Documentation Requirement for Transmission of Securities

## Applicability of Documentation Categories

| Category | Applicability |
|---|---|
| QTP | Quick Transmission Processing — very low-value claims by immediate relatives (parents, spouse, children, parents-in-law) |
| Simplified | Simplified documentation cases other than QTP, within the prescribed threshold |
| Above Threshold | Claims exceeding the simplified documentation threshold |

## Documentation Grid

| Item | Document required from claimant | QTP | Simplified | Above Threshold |
|---|---|---|---|---|
| **A** | **Common documents (mandatory in all cases)** | | | |
| 1 | Transmission request form | ✓ | ✓ | ✓ |
| 2 | Latest Client Master List (CML) of the claimant's demat account | ✓ | ✓ | ✓ |
| 3 | Verifiable death certificate of the deceased security holder | ✓ | ✓ | ✓ |
| 4 | Original security certificate/statement of SOA | ✓ | ✓ | ✓ |
| 5 | Copy of Birth Certificate/School leaving certificate/Passport/Aadhaar attested by guardian (if nominee/claimant/legal heir is a minor) | ✓ | ✓ | ✓ |
| 6 | KYC of the Guardian (if nominee/claimant is a minor / of unsound mind) | ✓ | ✓ | ✓ |
| **B** | **Relationship proof — applicable for "QTP"** | | | |
| 7 | Document evidencing relationship between claimant and deceased holder (parent, spouse, child, parent-in-law) | ✓ | — | — |
| 8 | Transmission Request Form-cum-Undertaking on plain paper as per specified format | ✓ | — | — |
| **C** | **Indemnity and consent — applicable for "Simplified" category** | | | |
| 9 | Notarised indemnity bond indemnifying the RTA/listed entity/AMC (However, in case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Notarised indemnity bond will not be applicable) | — | ✓ | — |
| 10 | Notarised affidavit-cum-NOC from all* legal heirs, confirming identification and claim of legal ownership to the securities and no objection<br>OR<br>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.<br><br>**In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) will not be applicable.* | — | ✓ | — |

| Item | Document required from claimant | QTP | Simplified | Above Threshold |
|---|---|---|---|---|
| **D** | **Other documents — applicable for "Above Threshold" category** | | | |
| 11 | Notarised affidavit-cum-NOC from all* legal heirs, confirming identification and claim of legal ownership to the securities and no objection.<br><br>*In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) shall not be applicable. | — | — | ✓ |
| 12 | Any ONE of:<br>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, as per the format specified<br>OR<br>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, as per specified format;<br>OR<br>Copy of Succession certificate or Letter of Administration or Court Decree. | — | — | ✓ |

*The processing entity may, for Above-Threshold cases, seek additional documents beyond those prescribed by SEBI, if required and for reasons recorded in writing.*

# Annexure-2: Transmission Request Form-cum-Undertaking for Quick Transmission Processing (QTP)

***Where No Nominee is Registered; To be submitted on Plain Paper***

Tick the boxes wherever applicable and fill in the details legibly.

---

*Date:* mm, dd, yyyy

*To*
*DP Operations*
*Unifi Capital Private Limited*
*11, Kakani Towers, 15, Khader Nawaz Khan Road,*
*Nungambakkam, Chennai- 600 006.*

## 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 list of documents) | |

## 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 favour, 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 _____, legal heir(s) of Late Mr./Ms. _____, residing at _____,

do hereby state and undertake as under:

1. The deceased holder held the securities/MF unit holdings listed below in his/her name as sole/single holder.

| S. No. | Company/ Fund Name & Scheme | DP- Client ID / Folio | No. of Securities/ Units | Certificate No. (for physical shares / securities) | Distinctive Nos. (for physical shares / securities) |
|---|---|---|---|---|---|
| 1 | | | | | From:<br>To: |
| 2 | | | | | From:<br>To: |

2. The above 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 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 **Unifi Capital Private Limited** 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.

I/We, am/are furnishing the documents as mentioned below for transmission of the securities in our name:

**Documents Submitted**

| S. No. | Document | Submitted | Remarks |
|---|---|---|---|
| 1 | Original Transmission Request Form (duly filled & signed) | ☐ | |
| 2 | Self-attested copy of Latest CML of claimant's 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 — Birth Certificate/School leaving certificate/Passport/Aadhaar (where the date of birth is available) – attested by Guardian | ☐ | |
| 6 | KYC of Guardian (if claimant is a minor or of unsound mind) | ☐ | |
| 7 | Relationship Proof (spouse/child/parent/parent-in-law) or Affidavit as per Annexure-B | ☐ | |
| 8 | Nomination Form or Nomination Opt-Out form | ☐ | |
| 9 | FATCA-CRS Declaration in 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 (Applicable only for transmission of units held in SOA)**

☐ KYC Acknowledgment attached ☐ KYC form attached

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

| | | | |
|---|---|---|---|
| **Mobile No.** | | | |
| **Tel. No.** | | | |
| **Email Address** | | | |
| **Above mobile belongs to:** | ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter | | |
| **Above email belongs to:** | ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter | | |
| **Address** *(Pls note that address will be updated as per claimant's address on KYC form / KYC Registration Agency records)* | | | |
| **City, State & PIN** | | | |
| **Bank Name** | | | |
| **Account No. and IFSC** | | **11 Digit IFSC** | |
| **A/c Type** | ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR<br>9-digit MICR No - | | |
| **Name of bank branch** | | | |
| **City** | | **PIN** | |

Please attach & tick: ☐ Cancelled cheque with claimant's name printed OR ☐ 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 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 for onward circulation/dissemination to all applicable regulated entities.

| | | | |
|---|---|---|---|
| **Claimant(s) Signature** | | | |
| **Place** | | **Date** | |

*Where any person required to sign is unable to sign, he/she may affix a left thumb impression in lieu of signature.*

## Annexure-A: Proof of Relationship

Tick against the document given as proof of relationship (self-attested copy to be enclosed):

- ☐ Birth certificate listing the parent's name
- ☐ School leaving certificate
- ☐ School/service records
- ☐ Passport
- ☐ Marriage Certificate
- ☐ Ration Card
- ☐ Voter ID
- ☐ Aadhaar
- ☐ Permanent Account Number
- ☐ Will
- ☐ Legal Heirship Certificate
- ☐ Court Decree
- ☐ Letter of Administration
- ☐ Succession Certificate
- ☐ Probate of Will (where available)

*If none of the above are available, a notarized Affidavit in the format at Annexure-B is required.*

## Annexure-B: Draft of the Affidavit

*[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 that Mr./Mrs. _____ ("Name of the Deceased Holder") held the following securities:

| S. No. | Company/Fund Name & Scheme | Folio/DP-Client ID | No. of Securities/Units/shares held | Certificate No. (for physical shares / securities) | Distinctive Nos. (for physical shares / securities) |
|---|---|---|---|---|---|
| 1 | | | | | From: To: |
| 2 | | | | | From: To: |

That the aforesaid deceased holder died leaving behind the following persons as the legal heirs without registering any nominee:

| S. No. | Name of Legal Heir(s) | Address & Contact | Age | Relation with Deceased |
|---|---|---|---|---|
| 1 | | | | |
| 2 | | | | |

That among the aforesaid legal heirs, Master/ Kumari._____ aged ____ years is a minor and is being represented by Mr./Ms. _____("Name of the Guardian") being his / her father / mother / legal guardian

Signature of the Deponent: X_____

*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.*

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**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
X_____

Signature of the Deponent:

**Signed before me**

---
Signature of Notary with Official Seal of Notary & Regn. No.
* strikeout whichever is not applicable

# Annexure-3: Transmission Request Form
# (Other than QTP Category)

For Transmission of Securities/Units on death of the Sole Holder/all Holders. ***To be submitted on Plain Paper***
Tick (☐→☑) the boxes wherever applicable and fill in the details legibly.

*Date: mm, dd, yyyy*

*To*
*DP Operations*
*Unifi Capital Private Limited*
*11, Kakani Towers, 15, Khader Nawaz Khan Road,*
*Nungambakkam, Chennai- 600 006.*

## 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 & Scheme | DP-Client ID/ Folio No. | No. of Securities / Units / Shares Held | Certificate No. (for physical shares / securities) | Distinctive Nos. (for physical shares / securities) |
|---|---|---|---|---|---|
| 1 | | | | | From:<br>To: |
| 2 | | | | | From:<br>To: |
| 3 | | | | | From:<br>To: |
| 4 | | | | | From:<br>To: |

## Part C – Other Information (Applicable only for transmission of units held in SOA)

☐ KYC Acknowledgment attached ☐ KYC form attached

Tax Status: ☐ Resident Individual ☐ Resident Minor (through Guardian) ☐ NRI ☐ PIO/OCI ☐ Others (please specify)

**Contact details of the Nominee / Legal Heir / Claimant**

| | | | |
|---|---|---|---|
| **Mobile No.** | | | |
| **Tel. No.** | | | |
| **Email Address** | | | |
| **Above mobile belongs to:** | ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter | | |
| **Above email belongs to:** | ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter | | |
| **Address** *(Pls note that address will be updated as per claimant's address on KYC form / KYC Registration Agency records)* | | | |
| **City, State & PIN** | | | |
| **Bank Name** | | | |
| **Account No. and IFSC** | | **11 Digit IFSC** | |
| **A/c Type** | ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR<br>9-digit MICR No - | | |
| **Name of bank branch** | | | |
| **City** | | **PIN** | |

Please attach & tick: ☐ Cancelled cheque with claimant's name printed OR ☐ Bank Statement/Passbook.

## Part D – Consent by Other Nominee(s) to be Added as Joint Holder(s) (applicable only for claims by 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 Nominee(s) to be added as Joint Holder | PAN/PEKRN | KYC Compliance* |
|---|---|---|
| | | |
| | | |

**If KYC not done/not complied, KYC form with 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 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 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.

| | | | |
|---|---|---|---|
| **Claimant(s) Signature** | | | |
| **Place** | | **Date** | |

*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

| S. No. | Document | Submitted |
|---|---|---|
| 1 | Original Transmission Request Form (duly filled & signed) | ☐ |
| 2 | Self-attested copy of Latest CML of claimant's demat account | ☐ |
| 3 | Self-attested copy of Verifiable Death Certificate of the deceased holder | ☐ |
| 4 | Original Security Certificate / Copy of SOA (if applicable) | ☐ |
| 5 | If claimant is a minor — Birth Certificate/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 prescribed format | ☐ |
| 9 | Signature attested only by Notary Public/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 applicable | ☐ |
| 11 | Notarised affidavit cum NOC from all legal heirs, confirming identification and claim of legal ownership to the securities and no objection<br>OR<br>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:<br>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<br>OR<br>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; | ☐ |

| S. No. | Document | Submitted |
|---|---|---|
| | OR<br>Copy of Succession certificate or Letter of Administration or Court Decree. | |

*Note:*

*1. For claim submitted by nominee, only documents specified at serial no. 1-9 shall be submitted.*

*2. For claim submitted by legal heir(s)/claimant(s) under "Simplified" category, documents specified at serial no. 1-11, as applicable, shall be submitted.*

*3. 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-4: Bond of Indemnity *(format)*

**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 by all Legal Heir(s), including the Claimant(s).**

*To be executed in the presence of a Notary Public/JMFC/Gazetted Officer, on Non-Judicial Stamp Paper of appropriate value as applicable in the State where the claimant resides.*

**Asset Type:**

Securities (Shares / Debentures / Bonds / Mutual Fund units etc.) held in: ☐ Physical mode/SOA ☐ Demat mode

## Part A – Details of Holding

I/We do hereby solemnly affirm and state on oath that Mr./Ms. _____

("Name of the deceased security/unit holder") was the sole holder of the following securities/mutual fund units:

| S.No. | Company/MF Scheme | Client/DP ID/Folio/Certificate No. | Distinctive No. | No. of Securities/Units Held |
|---|---|---|---|---|
| 1 | | | From: To: | |
| 2 | | | From: To: | |

## Part B – Basis of Succession & Details of Legal Heir(s)

The aforesaid deceased holder died on _____, without registering any nominee, leaving behind the following persons as the only surviving legal heirs, according to the laws of:

☐ 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

(Please tick one of above checkboxes, as applicable)

| Name of Legal Heir(s)/Claimant(s)* | Address & Contact | Age | Relationship with Deceased |
|---|---|---|---|
| | | | |
| | | | |

**If any Legal Heir other than the claimant has expired, a verifiable death certificate should be submitted for such deceased legal heir also.*

## Part C – Request & Indemnity

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein, have approached **Unifi Capital Private Limited** with a request to transfer/transmit the aforesaid securities/units 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 this indemnity as herein contained, relying on the information given by us and believing the same to be true.

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

1) Mr./Ms. Name: _____ Signature: _____ (Name & signature of witness),

2) Mr./Ms. Name: _____ Signature: _____ (Name & signature of witness),

have hereunto set their respective hands and seals this _____ day of _____, _____.

Signed and delivered by the said legal heir(s).

| Name of the Legal Heir(s)/Claimant(s) | Signature |
|---|---|
| 1. | X |
| 2. | X |
| 3. | X |

*Where any person required to sign is unable to sign, he/she may affix a left thumb impression in lieu of signature.*

## Part E – Attestation by Notary

| | |
|---|---|
| **Signed before me, At** | |
| **On (date)** | |
| **Signature of Notary** | |
| **Official Stamp, Seal & Registration No.** | |

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# Annexure-5: Affidavit-cum-No Objection Declaration *(format)*

**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 by the Claimant(s) and all Non-Claimant Legal Heir(s).**

*To be executed in the presence of a Notary Public/JMFC/Gazetted Officer, on Non-Judicial Stamp Paper of appropriate value as applicable in the State where the claimant resides.*

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**Asset Type:**

Securities (Shares / Debentures / Bonds / Mutual Fund units etc.) held in: ☐ Physical mode/SOA ☐ Demat mode

## Part A – Deponent(s)

I/We _____, 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 _____ without registering any nominee.
3. Basis of succession (applicable only for Above-Threshold cases):
   ☐ 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 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 Depository Participant.
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 Depository Participant fully indemnified against any loss or liability arising therefrom.

## Part C – Details of Securities/Units

| S.No. | Name of the Company/ MF Scheme | Client/DP ID/ Folio/Certificate No. | Distinctive No. (if applicable) | No. of Securities/ Units Held |
|---|---|---|---|---|
| 1 | | | From: To: | |
| 2 | | | From: To: | |

## Part D – Details of Legal Heirs (Including Non-Claimants)

| Name of Legal Heir(s) | Address & Contact Details | Age | Relationship with Deceased |
|---|---|---|---|
| | | | |
| | | | |

## Part E – Details of Claimant(s)

| Name of Claimant | Address & Contact Details | Age | Relationship with Deceased |
|---|---|---|---|
| | | | |
| | | | |

## 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(s) of Claimant(s): X _____ X _____ X _____

Signature(s) of Non-Claimant Legal Heir(s)**: X _____ X _____ X _____

*** 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, At** | |
| **On (date)** | |
| **Signature & Seal of Notary/Gazetted Officer** | |
| **Registration No. (if Notary)** | |