Annexure-3
Transmission Request Form

(For Transmission under other than QTP Category)

(For Transmission of Securities/ Units on death of the Sole holder/ all holders)

To: Date : _____

SS Corporate Securities Limited
NDM-2, D-Block, 3rd Floor, Netaji
Subhash Place, Pitampura, Delhi-34

Part A - Claimant and Deceased Holder information

DP ID / Client ID	
Deceased Holder Name:	
Claimant Name	
Claimant PAN 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.

Sl. No	Company/ Fund Name with Scheme Name	Folio No. / DP-Client ID	No. of Securities / Units / Shares Held	Certificate No. (for physical shares)	Distinctive No. (for physical shares) From : To
1					

Part C - Other information about Nominee/ Legal Heir/ Claimant (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. STD-**
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 (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 Nominee / Legal Heir/ Claimant

Bank Name	
Account No.	11-digit IFSC _____
A/e. Type(✓) ☐S B ☐ Current ☐ NRO NRE FCNR	9-digit MICR No._____
Name of bank and branch	
City	PIN

Please attach & tick✓ ☐ Cancelled Cheque with claimant's name printed **OR** ☐ Claimant's Bank Statement / Passbook

Part D - Consent by other Nominee(s) to be added as Joint Holder(s)
(Applicable only in case of claims submitted 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 the Nominee(s) to be added as joint holder	PAN/PEKN	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.

Claimant 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 along with the transmission request form.

Sl. 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)		
5	If claimant is a minor -Copy of Birth Certificate or School leaving certificate/ Passport or Aadhaar (where 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 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		

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.

Letter Format - Intimation of Demise information by the Joint Holder(s) / Nominee(s).

SS Corporate Securities Ltd
NDM-2, D-Block, Netaji
Subhash Place, Pitampura
Delhi - 110034

Date:

Sub.: Intimation of demise information.

Dear Sir/Madam,

Ref.: PAN _____ & Folio/Account Number: /Account Number

I/We regret to inform you about the demise having the above PAN / Folio / Account, where I/We is/are the joint holder(s) /registered nominee(s)/ Legal Hiers /Notifier in the accounts maintained with your organization / entity. Original downloaded / self-attested copy of the Death Certificate isattached for your kind action. I/We am/are enclosing the self attested copy of deceased person for PAN or any other valid ID proof for necessary validation.

Please let us know the procedure and documentation requirements to transmit the units in my/our favour. Also, note my/our contact details for necessary communication / contacts in this regard and not for updation in KYC records or in any of the accounts.

Details	Joint Holder1/ Nominee1/ Legal Hiers / Notifier	Joint Holder2/ Nominee2	Nominee3
Name			
PAN			
Relation			
Mobile			
Email			
Address			

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements. I/We hereby authorize you to disclose, share, rely, remit in any form, mode, or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the KYC Registration Agency(ies) for necessary action.

Signature:

Joint Holder1 / Nominee1	Joint Holder2/ Nominee2	Nominee3

Encl. :-

- *Death certificate – Original downloaded or self-attested copy;*
- *PAN or other ID proof of Deceased Person attested by Notifier;*
- *My/our self-attested PAN card copy(ies) or any other self-attested valid ID proof.*

Annexure I

SS Corporate Securities Ltd.

Date								

1. **Account Number**

DP ID									Client ID								

Declaration:

(*Applicable only if transmission of securities in case of nomination*)

(a) I / We are receiving the assets of the deceased's demat account as a trustee to his / her legal heir(s).

(b) I / We shall extend all co-operation in transferring such assets to the legal heir(s) either suo moto or when approached by the latter.

(c) The Participant legally and validly discharged upon transmission of assets to the nominee(s). In case I / We fail to discharge my / our liability, or if there is any dispute between me / us and the legal heir(s) of the deceased, then the Participant or NSDL, shall not be party to such disputes.

2. **Signature of the Nominee(s)**

S.No	Name of Nominee(s)	Signature
1		
2		
3		

Annexure II

SS Corporate Securities Ltd.

NAME DELETION IN JOINT ACCOUNT UPON TRANSMISSION

Date								

1. Account Number

DP ID									Client ID								

2. Account holder's details

Account Holder Indicator	Name of Joint Account Holder(s)	Tick against the holder(s) who has/have deceased	
First Holder		☐	Self-attested copy of death certificate of the deceased holder or subject to verification with the original or Original death certificate or copy of the death certificate duly attested by a notary public or by a gazetted officer or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority.
Second Holder		☐	
Third Holder		☐	

Declaration:

I/We, the undersigned, being the surviving holder(s) in the joint account, hereby request you to delete the name of the deceased account holder(s) and continue to maintain the account in the sole or joint surviving names in the same order.

I/We confirm that DP/NSDL will not be held liable for any impact on the pending requests related to i.e. demat / remat / conversion / re-conversion /repurchase / tender-offer etc. due to deletion of the name and monitoring of all such pending requests, if any will be done by us.

(Please tick anyone)

☐ I/We confirm that there are no changes in the residential address(es), mobile number(s), email address(es), bank account details, annual income, and nominee(s) of the surviving holder(s).

Or

☐ I/We inform that there are changes in the residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s) of the surviving holder(s) and I/We wish to update such changes in the demat account at the time of processing transmission requests. #

Participants are advised to collect the required information as per the extant norms of SEBI/NSDL.

Or

☐ I/We inform that there are changes in the residential address(es), mobile number(s), email address(es), bank account details, annual income, and nominee(s) of the surviving holder(s). The updated information will be provided as per the extant guidelines of SEBI/NSDL after the transmission of securities.

(Please tick if applicable) -

☐ Pursuant to the name deletion of the deceased holder(s), the joint account becomes a Sole/single-holding account, and the choice of nomination was not provided earlier, I request DP to update the choice of nomination ☐ nomination or ☐ opt out of nomination as per the enclosed request form

3. Signature of surviving joint holder(s)

Sr. No.	Name of the Surviving Joint Holder(s)	Signature
1		
2		