

## Schedule II

### ***Documents to be submitted to the Authority to register transmission of securities***

#### **A. Documentary requirement for securities held in PHYSICAL mode**

1. Where the shares are held singly with nomination:
  - 1.1. Duly signed transmission request form by the nominee.
  - 1.2. Original or copy of death certificate duly attested.
  - 1.3. Self-attested copy of PAN card.
  - 1.4. Original share certificate(s).
  - 1.5. Any other government ID proof of the nominee.
  
2. Where the shares are held singly without nomination, the following documents in addition to the documents specified at paragraph 1 are required:
  - 2.1. Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities  
In case the legal heir(s) or claimant(s) is named in the succession certificate or probate of will or Letter of Administration, an Affidavit from such legal heir(s) or claimant(s) alone would be sufficient.
  
  - 2.2. For value of securities up to Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents:
    - (a) Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.
  
    - (b) In the absence of the documents as mentioned at (a) above,
      - (i). No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed duly notarized and
      - (ii). An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.
  
  - 2.3. For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.
  
3. Where the shares are held jointly with nomination:
  - 3.1 Duly signed transmission request form by the nominee.
  - 3.2 Original or copy of death certificate(s) of all the joint holders duly attested
  - 3.3 Self-attested copy of PAN card.
  - 3.4 Original share certificate(s).
  - 3.5 Any other government ID proof of the nominee.

4. Where the shares are held jointly without nomination, the following documents in addition to the documents specified at paragraph 3 are required:
  - 4.1. Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities.  
Provided that in case the legal heir(s) or claimant(s) is named in the succession certificate or probate of will or Letter of Administration, an Affidavit from such legal heir(s) or claimant(s) alone would be sufficient.
  - 4.2 For value of securities upto Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents:
    - (a) Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925
    - (b) In the absence of the documents as mentioned at (a) above,
      - (i). No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder(s) not objecting to such transmission (or) copy of Family Settlement Deed duly notarized and
      - (ii). An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.
  - 4.3. For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.

#### **B. Documentary requirement for securities held in DEMAT mode**

1. Where the shares are held singly with nomination:
  - 1.1. Duly signed transmission request form by the nominee.
  - 1.2. Original or copy of death certificate duly attested
  - 1.3. Self-attested copy of PAN card.
  - 1.4. Copy of transaction statement duly certified by Depository Participant.
  - 1.5. Any other government ID proof of the nominee.
2. Where the shares are held singly without nomination, the following documents in addition to the documents specified at paragraph 1 are required:
  - 2.1 Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities.  
Provided that in case the legal heir(s) or claimant(s) is named in the succession certificate or probate of will or Letter of Administration, an Affidavit from such legal heir(s) or claimant(s) alone would be sufficient.
  - 2.2 For value of securities upto Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents:

(a) Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.

(b) In the absence of the documents as mentioned at (a) above,

(i) No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed duly notarized and

(ii) An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.

2.3 For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application:

Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.

3. Where the shares are held jointly with nomination:

3.1 Duly signed transmission request form by the nominee.

3.2 Original or copy of death certificate(s) of all the joint holders duly attested

3.3 Self-attested copy of PAN card.

3.4 Copy of transaction statement duly certified by Depository Participant.

3.5 Any other government ID proof of the nominee.

4. Where the shares are held jointly without nomination, the following documents in addition to the documents specified at paragraph 3 above are required:

4.1 Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities:

Provided that in case the legal heir(s) or claimant(s) is named in the succession certificate or probate of will or Letter of Administration, an Affidavit from such legal heir(s) or claimant(s) alone would be sufficient.

4.2 For value of securities upto Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents, namely:-

(a) Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.

(b) In the absence of the documents as mentioned at (a) above,

(i) No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder(s) not objecting to such transmission (or) copy of Family Settlement Deed duly notarized and

(ii) An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.

4.3 For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application:

Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.