

**FAQ No. 6: In case of death of shareholder(s), how to get shares transmitted in name of legal heir(s)?**

|    |  |
|----|--|
| A. | <p>Please send an email to RTA / Company with attachment of torn share certificate, letter received in past from RTA / Company, dividend warrant, etc. and confirm below details with RTA / Company about the shareholding:</p> <p>1. Whether your shares have been transferred to Investor Education and Protection Fund (IEPF)</p> <p>2. Whether any nominee is registered for the said shares, if yes, name of the same</p> |
| B. | <p>Upon verification of the records, shareholder shall submit the request along with original executed copies of below listed documents for transmission of shares</p>   |
| C. | <p>After processing the service request, the RTA shall issue a ‘Letter of Confirmation’ to the securities holder/claimant, which will be valid only for 120 days. Using this ‘Letter of Confirmation’, the securities holder/claimant shall request the DP to dematerialize the securities, failing which the securities shall be credited to the Suspense Escrow Demat Account of the Company</p>                             |

**Document requirement:**

Where securities are held in single name with a nomination:

|   |            |
|---|------------|
| Signed transmission request form by nominee   | Annexure A |
| Original death certificate or copy of death certificate attested by nominee or attested by a notary public or by a gazetted officer   | -          |
| Original share ceritficate  | -          |
| Self-attested copy of PAN card of nominee   | -          |
| Self-attested copy of address proof i.e. Aadhar Card, Election Card, Driving License, Passport, Electricity Bill, Telephone Bill, etc. to be provided by applicant/s (shareholder/s). Utility bill should not be older than 3 months. | -          |
| KYC Form  | ISR-1      |
| Bank signature verification form signed and attested by the Bank where bank account is held   | ISR-2      |
| Investor service request  | ISR-4      |
| Client master list for demat account<br>(Provided by depository participant where demat account is held confirming account status as ‘Active’)  | -          |
| Cancelled cheque of bank account from which ISR-2 is obtained   | -          |

Where securities are held in single name without nomination, below docs in addition to above:

|  |            |
|--|------------|
| <p>Notarized affidavit from all legal heirs on non-judicial stamp paper of Rs. 500/-</p> <p>In case the legal heir is named in any of the documents listed below, then affidavit from such legal heir would suffice.</p>   | Annexure D |
| Notarized Indemnity Bond from legal heir on non-judicial stamp paper of Rs. 500/-  | Annexure E |
| Notarized No objection certificate from all non-claimants on non-judicial stamp paper of Rs. 500/-   | Annexure F |
| <p>Any of the below if value of the securities exceeds Rs. 5 Lakhs):</p> <p>a. Succession Certificate or</p> <p>b. Will / Probate of Will or</p> <p>c. Letter of administration or</p> <p>d. Court Decree or</p> <p>Legal Heirship Certificate with Indemnity Bond in Annexure E and NOC in Annexure F</p> | -          |

**Important Points to be noted:**

- a. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
- b. If the applicant is/are illiterate, his/her/their thumb impression must be attested by a Magistrate or Notary Public under the seal of his office or Bank Manager.
- c. Proof of identification and Signature verification form has to be provided for each applicant.
- d. A passport size photograph of applicant duly signed by him/her on the reverse.
- e. Please annex all the documents required along with this application itself to avoid delay in transmission process. The application will be accepted and processed only on receipt of all the documents.