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 (duly signed / executed)	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 or School leaving certificate/ Passport or Aadhaar attested by guardian (in case the nominee/claimant/legal heir is a minor)	✓	✓	✓
6	KYC of the Guardian (in case of nominee /claimant being a minor / of unsound mind)	✓	✓	✓

B	**Relationship proof - applicable for "QTP"**			
7	Document evidencing relationship between the claimant and the deceased security holder (applicable only where claimant is parent, spouse, child or 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 as may be applicable. 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. OR	—	✓	—

	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. *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.			
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. *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 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, as per the format specified 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, as per specified format; OR Copy of Succession certificate or Letter of Administration or Court Decree.			

Note: The processing entities may, for cases above threshold for simplified documentation, seek additional documents over and above those prescribed by SEBI, if so required.