

## **Transmission of Physical Shares where Sole holder deceased & nomination registered**

**For transmission of dematerialized shares, the shareholders are requested to contact their respective Depository Participants (DP) where their demat account is maintained.**

### **Documents required for transmission of physical shares:**

1. Transmission Request Form - in Form ISR-5 (**Annexure-1**) duly signed by the legal heir(s)/ Claimant(s) along with the KYC documents in form ISR-1 (**Annexure-2**).
2. Original death certificate or Copy of death certificate attested by a notary public/gazette officer or copy of the death certificate attested by the claimant(s)/legal heir(s), subject to verification with original by the RTA/Listed Issuer.
3. Self-attested copy of Permanent Account Number Card of the nominee(s)/claimant(s)/legal heir(s) issued by the Income Tax Department
4. Copy of Birth Certificate (in case the claimant/legal heir is a minor)
5. KYC\* of the Claimant Guardian (in case of claimant being a minor / of unsound mind).
6. Original security certificate(s)

### **NOTE**

- \*If not KYC compliant
- Attestation of photocopies/xerox copies should be done by a Magistrate/Notary Public/ Special Executive Magistrate or a similar authority holding a public office and authorised to use the seal of this office.
- Notarised documents should also contain Notary Serial no. / Register no. etc. as per the provisions of the Notaries Rules, 1956.

### **The above Documents to be sent to RTA on the below mentioned address**

**Name :** Shri S Chandrasekaran

**Address :** M/s. Data Software Research Company Private Limited

19, Pycrofts Garden Road, Nungambakkam,

Chennai 600 006,

**Phone No :** +91 44 28213738 , +91 44 28214487.

**Email :** [bpcl@dsrc-cid.in](mailto:bpcl@dsrc-cid.in)

## **Procedure:**

1. The Shareholder has to approach a Depository Participant (DP) for opening a demat account.
2. After opening the demat account the shareholder has to submit request letter in ISR-5 along with the KYC documents in form ISR-1 together with the above mentioned documents to the RTA.
3. After certain internal processes and approval from the appropriate authorities(s) and as per SEBI Circular dated 18.05.2022, RTA will send the Letter of Confirmation (LOC) to the shareholder and retain the Physical share certificate and deface the certificate with a stamp “Letter of Confirmation Issued” on the face / reverse of the certificate.
4. The LOC will be valid for 120 days from the date of its issue, within which the shareholder shall make a request to the DP for dematerializing the said securities.
5. DP shall generate the demat request on the basis of LOC and forward the same to the Issuer Company / RTA for processing the demat request.
6. After receiving the demat request form from DP, the RTA will process the same and credit the shares to the demat account of the applicant.
7. The RTA / Issuer Companies shall issue a reminder after the end of 30 days, 60 days and 90 days from the date of issuance of LOC, informing the applicant to submit the demat request as above, in case no such request is received by the RTA / Issuer Company.
8. **In case the Shareholder fails to submit the demat request within the aforesaid period of 120 days from the date of issue of LOC, RTA / Issuer Company shall credit the securities to the Suspense Escrow Demat Account of the Company. The Shares can subsequently be claimed back by the shareholder by applying in the format in Form ISR-4 by ticking the appropriate service request.**

**Request for Transmission of Securities by Nominee or Legal Heir**  
(For Transmission of securities on death of the Sole holder)

**Annexure-1 –  
ISR 5**

To:

**The Listed Issuer/RTA,**  
(Address)

**(Name of the Listed Issuer/RTA)**

<b>Name of the Claimant(s)</b> Mr./Ms	
Name of the Guardian <input type="checkbox"/> <i>in case the claimant is a minor</i> →	Date of Birth of the minor* Mr./Ms _____
Relationship with Minor: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Court Appointed Guardian*	
<b>[Multiple PAN may be entered]</b> PAN (Claimant(s)/Guardian): _____   <input type="checkbox"/> KYC Acknowledgment attached <input type="checkbox"/> KYC form attached	
Tax Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Resident Minor (through Guardian) <input type="checkbox"/> NRI <input type="checkbox"/> PIO <input type="checkbox"/> Others (please specify)	

*\*Please attach relevant proof*

I/We, the claimant(s) named hereinabove, hereby inform you about the demise of the below mentioned Securities Holder(s) and request you to transmit the securities held by the deceased holder(s) in my/our favour in my/our capacity as –  
 Nominee  Legal Heir  Successor to the Estate of the deceased  Administrator of the Estate of the deceased

Name of the deceased holder(s)	Date of demise**
1)	DD / MM / YYYY
2)	DD / MM / YYYY
3)	DD / MM / YYYY

*\*\*Please attach certified copy of Death Certificate.*

**Securities(s) & Folio(s) in respect of which Transmission of securities is being requested**

Name of the Company	Folio No.	No. of Securities	% of Claim@
1)			
2)			
3)			
4)			

*@As per Nomination OR as per the Will/Probate/Succession Certificate/Letter of Administration/ Legal Heirship Certificate (or its equivalent certificate)/ Court Decree, if applicable.*

**Contact details of the Claimant (s) [Provision for multiple entries may be made]**

**Mobile No. +91** \_\_\_\_\_ **Tel. No. STD -** \_\_\_\_\_

**Email Address**

**Address** (Please note that address will be updated as per address on KYC form / KYC Registration Agency records)

Address Line 1

Address Line 2

City:

State

PIN | | | | |

**Bank Account Details of the Claimant**

Bank Name

Account No.

|11-digit IFSC | |

A/c. Type (✓)  SB  Current  NRO  NRE  FCNR

| 9-digit MICR No. | |

Name of bank branch

City

PIN | | | | |

Please attach & tick✓  Cancelled cheque with claimant's name printed **OR**  Claimant's Bank Statement/Passbook (duly attested by the Bank Manager)

I also request you to pay the **UNCLAIMED** amounts, *if any*, in respect of the deceased securities holder(s) by direct credit to the bank account mentioned above.

**Additional KYC information** (Please tick✓ whichever is applicable)**Occupation**  Private Sector Service  Public Sector Service  Government Service Business  Professional Agriculturist  Retired  Home Maker  Student  Forex Dealer  Others

(Please specify)

The Claimant is  a Politically Exposed Person  Related to a Politically Exposed Person  Neither (Not applicable)**Gross Annual Income** (₹)  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  25 Lacs-1crore  >1 crore**FATCA and CRS information**

Country of Birth \_\_\_\_\_

Place of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

Are you a tax resident of any country other than India?  Yes  No

If Yes, please mention all the countries in which you are resident for tax purposes and the associated Taxpayer Identification Number and its identification type in the column below

Country

Tax-Payer Identification Number

Identification Type

Country	Tax-Payer Identification Number	Identification Type

**Nomination@** (Please ✓ one of the options below)

I/We **DO NOT** wish to make a nomination. *(Please tick ✓ if you do not wish to nominate anyone)*

I/We wish to make a nomination and hereby nominate the person/s more particularly described in the **attached Nomination Form** to receive the securities held in my/our folio in the event of my / our death.

@ *Guardian of a minor is not allowed to make a nomination on behalf of the minor*

**Declaration and Signature of the Claimant(s)**

I/We have attached herewith all the relevant / required documents as indicated in the attached *Ready Reckoner as per Annexure A*.

I/We confirm that the information provided above is true and correct to the best of my knowledge and belief.

I/We \_\_\_\_\_ undertake \_\_\_\_\_ to \_\_\_\_\_ keep \_\_\_\_\_ (Name of the Company) / its RTA informed about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required by the RTAs.

I/We \_\_\_\_\_ hereby \_\_\_\_\_ authorize \_\_\_\_\_ (Name of the Company) and its RTA to provide/ share any of the information provided by me/us including my holdings in the (Name of the Company) to any governmental or statutory or judicial authorities/agencies as required by law without any obligation of informing me/us of the same.

Place _____	Signature of Claimant(s)
Date _____	

**Documents Attached**

- Copy of Death Certificate of the deceased holder
- Copy of Birth Certificate (in case the Claimant is a minor)
- Copy of PAN Card of Claimant / Guardian
- KYC Acknowledgment OR
- KYC form of Claimant
- Cancelled cheque with claimant's name printed OR  Claimant's Bank Statement/Passbook
- Nomination Form duly completed
- Annexure D - Individual Affidavits given EACH Legal Heir
- Original security certificate(s)
- Annexure E - Bond of Indemnity furnished by Legal Heirs
- Annexure F - NOC from other Legal Heirs

**\*Note:** For transmission service requests, Form ISR-4 as per SEBI circular SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022 will not be required.



3	Proof of Address of the first holder	<p>Any one of the documents, only if there is change in the address;</p> <p>Client Master List (<b>CML</b>) of your Demat Account, provided by DP.</p> <p>Valid Passport/ Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill.</p> <p>Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.</p> <p>Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions.</p> <p>For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.</p> <p>The proof of address in the name of the spouse</p>
4	Bank details	<p>Account Number: _____</p> <p>Bank Name: _____</p> <p>Branch Name: _____</p> <p>IFS Code: _____</p> <p>Provide the following:</p> <p><u>original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement attested by the Bank</u> #</p>
5	E-mail address	_____ #
6	Mobile	_____ #

\* or any date as may be specified by the CBDT

(DP: Depository Participant)

# In case it is not provided, the details available in the CML will be updated in the folio

**Authorization:** I / We authorise you (RTA) to update the above PAN and KYC details in my / our folio (s) \_\_\_\_\_, \_\_\_\_\_, (use Separate Annexure if extra space is required) in which I / We are the holder(s) (strike off what is not applicable).

**Declaration:** All the above facts stated are true and correct.

	Holder 1	Holder 2	Holder 3
Signature	✓		
Name	✓		
Full address	✓		
PIN	✓ "		

## Mode of submission of documents to the RTA

Please use any one of the following mode;

1. In Person Verification (**IPV**): by producing the originals to the authorized person of the RTA, who will retain copy(ies) of the document(s)
2. In hard copy: by furnishing self-attested photocopy(ies) of the relevant document, with date
3. Through e-mail address already registered with the RTA, with e-sign of scanned copies of documents
4. Service portal of the RTA with e-sign with scanned copies of documents, if the RTA is providing such facility

### Note

<ul style="list-style-type: none"><li>• It is mandatory for holders of physical securities in listed company to furnish PAN, full KYC details (address proof, bank details, e-mail address, mobile number) and Nomination (for all the eligible folios).</li></ul>	
<ul style="list-style-type: none"><li>• Upon receipt or up-dation of bank details, the RTA will automatically, pay electronically, all the moneys of / payments to the holder that were previous unclaimed / unsuccessful.</li></ul>	
<ul style="list-style-type: none"><li>• RTA shall update the folio with PAN, KYC details and Nominee, within seven working days of its receipt. However, cancellation of nomination, shall take effect from the date on which this intimation is received by the company / RTA.</li></ul>	
<ul style="list-style-type: none"><li>• RTA shall not insist on Affidavits or Attestation / Notarization or indemnity for registering / up-dating / changing PAN, KYC details and Nomination.</li></ul>	
<ul style="list-style-type: none"><li>• Specimen Signature</li></ul>	<ul style="list-style-type: none"><li>• Provide banker's attestation of the signature of the holder(s) as per <a href="#">Form ISR – 2</a> in <a href="#">SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655 dated November 03, 2021</a>) and</li><li>• <u>original cancelled cheque</u> with name of security holder printed on it <i>or</i> <u>Bank Passbook</u> <i>or</i> <u>Bank Statement</u> attested by the Bank</li></ul>
<ul style="list-style-type: none"><li>• Nomination**</li></ul>	<ul style="list-style-type: none"><li>• Providing Nomination: Please submit the duly filled up Nomination Form (<a href="#">SH-13</a>) <i>or</i> 'Declaration to Opt out of Nomination' as per <a href="#">Form ISR-3</a>, in <a href="#">SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/ CIR/2021/655 dated November 03, 2021</a></li><li>• Change in Existing Nomination: Please use <a href="#">Form SH-14</a> in <a href="#">SEBI circular SEBI/HO/MIRSD/MIRSD RTAMB/P/CIR/2021/655</a></li><li>• Cancellation of Existing Nomination: use <a href="#">Form SH-14</a> &amp; <a href="#">Form ISR – 3</a></li></ul>

\*\* Nomination (**Form SH-13 or SH-14**) / 'Declaration to Opt-Out of nomination' (**Form ISR – 3**), has to be furnished by the holder(s) separately for each listed company.

*(Page 3 & 4 is for information to investors; print out of the same is not required)*



## Objection Memo that can be raised by the RTA

(only if the relevant document / details is / are not available in the folio or if there is a mismatch / discrepancy in the same or change thereof)

### Note

RTAs shall raise all objections, if any / at all, in one instance only; the RTA shall not raise further objections on the same issue again and again, after the holder / claimant furnishes all the prescribed documents and details, unless there is any deficiency / discrepancy in the same.

No.	Item	Documents / Details to be provided to the RTA by the holder(s) / claimant(s)
1	PAN – Exceptions and Clarification	‘Exemptions/clarifications to PAN’, as provided in clause D to ‘Instructions/Check List for Filing KYC Forms’ in Annexure – 1 to <a href="#">SEBI circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011</a> on Uniform Know Your Client (KYC) Requirements for the Securities Market, shall also applicable for holder(s) / claimant(s) of securities held in physical mode.
2	Minor mismatch in Signature - minor	The RTA shall intimate the holder at the existing address, seeking objection, if any, within 15 days
3	Major mismatch in Signature or its non-availability with the RTA	<ul style="list-style-type: none"> <li>• Banker’s attestation of the signature of the holder(s) as per <a href="#">Form ISR – 2</a></li> <li>• <u>Original cancelled cheque</u> with name of security holder printed on it or <u>Bank Passbook</u> or <u>Bank Statement attested by the Bank</u></li> </ul>
4	Mismatch in Name	Furnish any one of the following documents, explaining the difference in names; <ul style="list-style-type: none"> <li>• Unique Identification Number (UID) (Aadhaar)</li> <li>• Valid Passport</li> <li>• Driving license</li> <li>• PAN card with photograph</li> <li>• Identity card / document with applicant’s Photo, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions</li> <li>• Marriage certificate</li> <li>• Divorce decree</li> </ul>
5	Present address of the holder is not matching with the address available in the folio	RTA shall issue intimation to both the old and new addresses. <ul style="list-style-type: none"> <li>• In case where the letter is undelivered at the old address, RTA shall not insist for any proof of the old address provided the current address proof is in the form of an address proof issued by a Government Authority.</li> </ul> The above procedure will be applicable for request for change in address of the holder also

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