

**Procedure for Transmission of Shares KYC update and Direct Credit in case the Market Value of Securities is more than Rs. 5,00,000/-**

**If Market Value of Securities is more than Rs. 5,00,000/- as on date of application, the following documents are required to be submitted.**

1. Duly filled and signed Form **ISR-4**.
2. Application Form for Transmission of Shares **ISR-5 (Annexure C)**.
3. Kindly provide original Death Certificate or notarized copy of Death Certificate. In case the **Death Certificate** is in a vernacular language (except for Hindi and Marathi), we require a notarized English translated copy of the Death Certificate.
4. **Individual (separate) affidavits (Annexure D)** to be given by all legal heirs of the deceased shareholder on Rs. 100/- Non-Judicial Stamp Paper duly attested by Notary Public, if the resident is outside Maharashtra. If the resident is within Maharashtra, then the affidavit for transmission of securities is to be executed on Rs. 500/- Non-Judicial Stamp Paper duly attested by Notary Public.
5. Any one among following (a) to (f) either Original or duly attested by a notary public or by a Gazetted officer.
  - (a) Succession certificate; or
  - (b) Probate of Will; or
  - (c) Will, along with a notarized **Indemnity Bond (Annexure E)**, duly attested and affirmed by Notary on Non-Judicial Stamp Paper (NJS) of Rs. 500/- or duly franked in cases where the registered office address of the Company is within Maharashtra, and on Non-Judicial Stamp Paper (NJS) of Rs. 200/- or duly franked in cases where the registered office address of the Company is outside Maharashtra from the legal heir(s)/claimant(s) to whom the securities are transmitted, or
  - (d) Letter of Administration; or
  - (e) Court Decree; or
  - (f) Legal Heirship Certificate or its equivalent, along with a notarized **Indemnity Bond (Annexure E)** duly attested and affirmed by Notary on Non-Judicial Stamp Paper (NJS) of Rs. 500/- or duly franked in cases where the registered office address of the Company is within Maharashtra, and on Non-Judicial Stamp Paper (NJS) of Rs. 200/- or duly franked in cases where the registered office address of the Company is outside Maharashtra from the legal heir o(s)/claimant(s) to whom the securities are transmitted and **No Objection Certificates (Annexure F)** on Rs. 100/- Non-Judicial Stamp Paper duly attested by Notary Public from all the non - claimants.
6. As per the format of Indemnity, kindly provide two (2) witnesses who are not relatives of the shareholder. Kindly update their full names and signatures.
7. Kindly provide both witnesses with their self-attested copies of PAN Card and address proof (Aadhaar Card, or Voter ID Card or valid Indian Passport or Driving License).
8. Also provide all renounees with their self-attested copies of PAN Card and address proofs (Aadhaar Card or Voter ID Card or valid Indian Passport).
9. Kindly provide self-attested copy of PAN Card(s) of claimant.

10. Kindly provide claimant’s self-attested copy of latest utility bill (not more than 3 months old) – Electricity Bill or Telephone Bill (MTNL/BSNL) or Gas Bill as current address proof.
11. In addition to the above documents, also provide claimant’s self-attested copy of Aadhaar Card or Voter ID Card or valid Indian Passport or Driving License.
12. Kindly provide Self-attested Ration card or Family Tree of all Deceased Holder(s)
13. Original or Self attested Death Certificate of all Deceased legal heir(s)
14. Original share certificate(s)

**Updation of KYC**

15. Duly filled and signed KYC Forms **ISR-1**, **ISR-2**, and **ISR-3** (or **SH-13**, as applicable) along with original cancelled cheque with name of holder(s) printed on it or an self attested copy of your bank passbook, self attested copy of Bank Statement (bank details must match Form ISR-2 and the CML).

**Documents for Direct Credit of securities**

In compliance with the SEBI Circular HO/38/13/(3)2026-MIRSD-POD/I/3763/2026 dated January 30, 2026 on doing away with the requirement of issuance of Letter of Confirmation (“LOC”) and to effect direct credit of securities in the demat account of the investor on receipt of the various investor service requests such as issuance of duplicate securities certificates, transmission, transposition, renewal/exchange of certificates, endorsement, sub-division/splitting of certificates, consolidation of certificates/folios, etc.

To facilitate the direct credit of securities into the demat account,

16. The self-attested latest Client Master List (CML) of demat account/BO ID duly signed and verified by DP official with Stamp (the CML should not be older than 2 months).
17. The duly filled and signed **Demat Conversion Request Form (DCRF)** and signature of the BO/s duly verified by the DP official with stamp. Kindly ensure that the appropriate nature of investor service request is selected. In case of a composite request, all relevant checkboxes should be duly selected.

*(Note: In case of lock-in securities, kindly submit a distinct DCRF for free and lock-in securities along with lock-in reason or release date.)*

<b><u>Investors with an CDSL-registered Depository Participant (DP)</u></b>	<b><u>Investors with an NSDL-registered Depository Participant (DP)</u></b>
a) In cases of Transposition-cum-Dematerialization, the request shall be accompanied by a Transposition Request Form (TPRF).	a) In cases of Transposition-cum-Dematerialization, the request shall be accompanied by <b><u>Transposition along with Dematerialization Conversion Request.</u></b> b) In cases of Transmission-cum- Dematerialization, the request shall be accompanied by <b><u>Transmission along with Dematerialization Conversion Request.</u></b> c) In case of variation in signature, the request shall be accompanied by <b><u>Signature Variation Form along with Dematerialization Conversion Request.</u></b>

(Note: Investor is requested to check the CML to identify whether they have account with NSDL registered DP or CDSL registered DP)

#### OTP Authentication for Direct Credit

- a) In the process investor an SMS link will be sent to the registered mobile number and email ID available in the BO ID for verification from first / sole holder
- b) First holder has to click on the SMS link provided and access the OTP generation page by entering the BO ID along with first holder PAN as a login authentication.
- c) Once the investor has logged in successfully the screen will display the details such as the Demat Request Number (DRN) and details of securities. For completion of the dematerialisation process, the OTP must be entered into the system and authenticated by the investor, post OTP confirmation the demat account

All the Formats mentioned in the procedure such as ISR-1, ISR-2, SH-13 (ISR-3), ISR-4 & CDSL-Direct Credit-DCRF or NSDL-Direct Credit-DCRF Form are available under the Forms & Procedures/Downloads section on our website: [https://www.bigshareonline.com/resources-sebi\\_circular.aspx#parentHorizontalTab3](https://www.bigshareonline.com/resources-sebi_circular.aspx#parentHorizontalTab3)

#### **Important Instructions –**

1. Kindly ensure that the first 8 digit of **Aadhar Number is masked** in the Aadhar Copy shared along with the Service request.
2. All ISR forms and the complete set of KYC documents are duly filled in and signed by all registered shareholders.
3. Form **ISR 2 is complete in all manner** including Email id and Phone number of Bank, email and Phone number of investor, Details of Branch Manager who has attested ISR 2 such as Employee Name, Employee Code, Email of Employee.

#### **Instructions for Filing Indemnity Bond (Annexure E):**

4. If the deceased holder did not leave a ‘Will or Probate of Will and the assets are passed on according to legal rules for inheritance - kindly fill the details under the ‘Intestate Succession’ column.
5. If the deceased holder left a ‘Probate of Will’ and the assets are passed on according to the instructions in that Will- kindly fill the details under the ‘Testamentary Succession’ column.
6. Endure the Address including Email and Phone number of Legal heirs/ Claimant(s) are filled in properly
7. In para 4, format sentence contains “Company / Registrar and Transfer Agent (RTA)”, the slash “/” should be read as “and”, not “or”.
8. Kindly mention both the name of the Company and the name of the Registrar and Transfer Agent (RTA) as Bigshare Services Private Limited.

#### **Instructions for Filing Individual (Separate) Affidavits (Annexure D)**

9. Any documents which are related to affidavit should be made on Rs. 500/- Non-Judicial Stamp Paper if the resident is within Maharashtra, and if the resident is outside Maharashtra, then the affidavit should be made on Rs. 100/- Non-Judicial Stamp Paper.

10. Ensure the Address including Email and Phone number of Legal heirs are filled in properly

Thanking you and assuring you of our best services, always.

Yours faithfully,

For Bigshare Services Private Limited