PROCEDURE FOR TRANSMISSION OF SECURITIES

A. Who can apply for Transmission?

1. The registered nominee, where a nomination exists;
2. The legal heir(s), successor(s), or other person(s) entitled to inherit the securities under applicable succession laws, where no valid nomination exists; or
3. The surviving joint holder(s), in accordance with the rule of survivorship

B. Categories of Transmission Requests

Transmission requests shall be processed under one of the following categories:

Category of Transmission Request in case of Securities held in physical mode		
Claims under **Quick Transmission Processing (QTP)**	**Claims under simplified documentation**	**Claims above Threshold**
Value- is equal to or **below** Rs.10,000/- and the claimant is either parents, spouse, children or parents-in-law of deceased holder	**Criteria I-** Value of securities is equal to or **below** Rs.10,000/-**and** the claimant is other than parents, spouse, children or parents-in-law of deceased holder Or **Criteria II-** Value of securities is up to Rs.10,00,000/-	Value is above Rs.10,00,000/-

Note: value of securities shall be quantified by the claimant on the basis of the previous closing price of such securities at any one of the recognized stock exchanges

List of Documentation required for processing transmission of securities (Annexure 1)

A. In case Nomination is Registered – The documents listed in Sr. 1 to 4 is only required

B. In Case No Nomination is registered- below is the documentation requirement as per category of Transmission request.

Mandatory Documents for all cases either QTP, Simplified Documents or above threshold limit		
Sr. No	**List of Documents**	**Specific Instruction**
1	Transmission request form	Annexure-2 for QTP claims and Annexure-3 Other than QTP
2	Self-Attested latest Client Master List (CML) of the claimant's demat account not older than 2 months attested by Depository Participant.	
3	Self-Attested **Verifiable death certificate** of the deceased security holder(s) Verifiable death certificate means- a) an original death certificate or copy of death	1. In cases involving death of an investor outside India, 'proof of death' document is issued by an authority outside the country. In such cases, the entity shall accept the certified true copy of the document issued for 'proof of death', certified in the country of its issuance through

	certificate attested by the registered nominee/claimant subject to verification with the original; or b) copy of death certificate duly attested by a notary public or a Gazetted Officer or a Judicial Magistrate First Class ("JMFC"); or c) death certificate with Quick Response (QR) code	any of the following modes: a) Court Magistrate or Judge or Notary Public in the country of issuance; or b) Consularisation by Indian Embassy/ Consulate General in the country of issuance; or c) apostilled; or d) certification by authorised officials of overseas branches of Scheduled Commercial Banks registered in India. e) certification by authorised officials of branches of overseas banks with whom Indian banks have correspondent banking relationships. 2. In case the original death certificate is issued in a language other than English, the claimant shall also submit a self-certified copy of translation of death certificate into English along with certified copy of the original death certificate.
4	Original security certificate(s)	-
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)	The Date of Birth/ Age shall be identifiable in the document submitted.
6	Self-attested KYC (PAN and Address Proof) of the Guardian (in case of nominee /claimant being a minor / of unsound mind)	
Additional Documents in case of QTP- Quick Transmission Processing		
7	Transmission Request Form-cum-Undertaking on plain paper as per specified format	Annexure-2 along with Annexure A or Annexure B mentioned in point 8
8	Self-attested document evidencing relationship between the claimant and the deceased security holder (applicable only where claimant is parent, spouse, child or parent-in-law)	Any one among below listed documents evidencing relationship with the deceased holder as per below Annexure A 1. Birth certificate which lists the parent's name 2. School leaving certificate 3. School records/service records 4. Passport, 5. Marriage Certificate 6. Ration Card 7. Voter ID 8. Aadhar 9. PAN 10. Will 11. Legal Heirship Certificate 12. Court Decree 13. Letter of Administration 14. Succession Certificate

		15. Probate of Will (where available) In case none of the above documents are available, a notarized Affidavit in the format given in Annexure-B
Additional Documents for Simplified documentation cases		
9.	Notarised **indemnity bond** indemnifying the RTA / listed entity/AMC as may be applicable. If claimant has submits any court issued documents viz., a. Succession Certificate or b. Probate of Will or c. Letter of Administration or d. Court Decree the requirement of submission of Notarised indemnity bond will not be applicable.	Annexure-4- Bond of Indemnity 1. The applicable stamp duty shall be in accordance with the stamp laws of the State where the claimant(s) resides. 2. Ensure that the document is duly executed, all the required check boxes have been ticked and all the required details have been filed. 3. Ensure the Address, Email and Phone number of Legal heirs are filled properly in Part B of Annexure-4 4. Name of the [Company] and Bigshare Services Private Limited is mentioned in Part C of Annexure-4
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. If claimant has submits any court issued documents viz., a. Succession Certificate or b. Probate of Will or c. Letter of Administration or d. Court Decree the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) is will not be applicable	Annexure-5- Affidavit-Cum-No Objection Declaration 1. Can be executed severally or jointly by all claimant(s)/ legal heir(s) 2. The applicable stamp duty shall be in accordance with the stamp laws of the State where the claimant(s)/legal heir(s) resides. 3. Ensure that the document is duly executed, all the required check boxes have been ticked and all the required details have been filed. 4. Ensure the Address, Email and Phone number of claimant(s)/legal heir(s) are filled properly in Part D and Part E of Annexure-5 5. Name of [Company] and Bigshare Services Private Limited is mentioned in Part B (Point 10 and 11) of Annexure-5
Additional Documents for Above Threshold Cases (Above Rs.10,00,000/-)		

11.	Notarised **affidavit cum NOC** from all* legal heirs, confirming identification and claim of legal ownership to the securities and no objection. If claimant has submits any court issued documents viz., a. Succession Certificate or b. Probate of Will or c. Letter of Administration or d. Court Decree the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) is will not be applicable.	Annexure-5- Affidavit-Cum-No Objection Declaration 1. Can be executed severally or jointly by all claimant(s)/ legal heir(s) 2. The applicable stamp duty shall be in accordance with the stamp laws of the State where the claimant(s)/legal heir(s) resides. 3. Ensure that the document is duly executed, all the required check boxes have been ticked and all the required details have been filed. 4. Ensure the Address, Email and Phone number of claimant(s)/legal heir(s) are filled properly in Part D and Part E of Annexure-5 5. Name of the [Company] and Bigshare Services Private Limited is mentioned in Part B (Point 10 and 11) of Annexure-5

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, in the format prescribed in Annexure-4- Bond of Indemnity 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, in the format prescribed in Annexure-4- Bond of Indemnity; OR Copy of Succession certificate OR Letter of Administration OR Court Decree.	

Note:

- The threshold value shall be calculated separately for each listed entity.
- A separate transmission request must be submitted for each listed entity.
- A listed entity may prescribe a higher threshold limit than ₹10,00,000, if considered appropriate.
- In cases falling under the simplified documentation process or where enhanced scrutiny is considered necessary, the processing entity may seek additional documents, over and above those prescribed by SEBI.

<u>Rule of Survivorship- Name Deletion Cases- In case of Joint Holding</u>

1. Documentation required from the Claimant(s)/ Surviving Joint Holder(s):
   a) Form ISR 1- KYC Form
   b) Form ISR 2- Bank Attestation for Signature
   c) Verifiable Death Certificate of the Deceased Shareholder(s),
   d) Self-Attested latest Client Master List (CML) of the claimant's demat account not older than 2 months attested by Depository Participant.

2. In case there is variation of name as per record of RTA document submitted by Claimant, then Request will be considered as composite request of Name Change/ Name correction cum Name Deletion.

PROCEDURE FOR TRANSMISSION OF SECURITIES

The Shares shall be credited via Direct Credit mode in the account of claimant as per SEBI Circular dated 30th January, 2026. (claimant(s) shall submit DCRF for Direct Credit attested by DP)

Link for downloading documents for Direct Credit & ISR Forms: 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. *ISR forms/Transmission Request Form and the complete set of KYC documents are duly filled in and signed*

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 (For Name Deletion Cases for Signature Verification)*

List of Annexures

Annexure 2	Transmission Request Form (QTP)
Annexure 3	Transmission Request Form (other than QTP)
Annexure 4	Indemnity Bond
Annexure 5	Affidavit-Cum-No Objection Declaration