

23<sup>rd</sup> June, 2022

Dear Shareholders,

**Subject- Issuance of shares in dematerialized form in case of Investor Service Request**

Please take note that Securities & Exchange Board of India (SEBI) vide its circular- SEBI/HO/MIRSD\_RTAMB/P/2022/8 dated Jan 25, 2022 has decided that all listed companies shall henceforth issue shares in dematerialized form only while processing the following service requests from shareholders/claimant with respect to shares held in physical form:

- i. Issue of duplicate share certificates
- ii. Renewal/Exchange of share certificates
- iii. Endorsement
- iv. Sub-division/Splitting of share certificates
- v. Consolidation of share certificates
- vi. Transmission
- vii. Transposition

Shareholders/Claimants are requested to submit duly filled up Form ISR-4, enclosed as **Annexure-A** alongwith documents/details specified therein. Please take note for item nos. ii to vii as above original share certificates need to be submitted to the company's RTA for processing of service requests.

The RTA shall verify and process the service requests and thereafter issue a 'Letter of Confirmation' in lieu of physical certificate(s) to the shareholder/claimant within 30 days of its receipt such request after removing objections, if any.

The 'Letter of Confirmation' shall be valid for a period of 120 days from the date of its issuance within which the shareholder/claimant shall make a request to the Depository Participant for dematerializing the said shares.

In case the shareholder/claimant fails to submit the demat request within the said aforesaid period, RTA shall arrange to credit the shares to the Demat Suspense Account of the company.

Shareholders are requested to note procedures and additional documents required for processing service request with regard to item no. i and vi above which are enclosed as **Annexure-B**.

Shareholders are requested to submit the service requests as aforesaid to the company's RTA.

Yours faithfully,

**For B&A Packaging India Ltd**

**Sd/-**

**D. Chowdhury**

**Company Secretary**

**Contact details of RTA**

MCS Share Transfer Agent Limited, 383, Lake Gardens, 1st Floor, Kolkata - 700045  
Phone +91 33 4072 4051 (3 lines) E-mail: [mcssta@rediffmail.com](mailto:mcssta@rediffmail.com)

## Form ISR-4

(see circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022 on Issuance of Securities in dematerialized form in case of Investor Service Requests)

### Request for issue of Duplicate Certificate and other Service Requests

(for Securities - Shares / Debentures / Bonds, etc., held in physical form)

Date: \_\_\_ / \_\_\_ / \_\_\_\_

**A. Mandatory Documents / details required for processing all service request:**

**I / We are submitting the following documents / details and undertake to request the Depository Participant to dematerialize my / our securities within 120 days from the date of issuance of Letter of Confirmation, received from the RTA/Issuer Company (tick ✓ as relevant, refer to the instructions):**

- Demat Account No. (If available):

Provide Client Master List (**CML**) of your Demat Account from the Depository Participant\*

- Provide the following details, if they are not already available with the RTA (see SEBI circular dated November 03, 2021 in this regard)

|                                     |                    |
|-------------------------------------|--------------------|
| PAN                                 | Specimen Signature |
| Nomination / Declaration to Opt-out |                    |

\* (Your address, e-mail address, mobile number and bank details shall be updated in your folio from the information available in your **CML**). You can authorize the RTA to update the above details for all your folios. In this regard, please refer to and use Form ISR-1 in SEBI circular dated November 03, 2021.

**B. I / We request you for the following (tick ✓ relevant box)**

|  |                                       |
|--|---------------------------------------|
| Issue of Duplicate certificate                                 | Claim from Unclaimed Suspense Account |
| Replacement / Renewal / Exchange of securities certificate     | Endorsement                           |
| Sub-division / Splitting of securities certificate             | Consolidation of Folios               |
| Consolidation of Securities certificate                        | Transmission                          |
| Transposition ( <i>Mention the new order of holders here</i> ) |                                       |

**C. I / We are enclosing certificate(s) as detailed below\*\*:**

|   |                |
|---|----------------|
| Name of the Issuer Company                                  |                |
| Folio Number  |                |
| Name(s) of the security holder(s) as per the certificate(s) | 1.<br>2.<br>3. |
| Certificate numbers   |                |
| Distinctive numbers   |                |
| Number & Face value of securities                           |                |

\*\* Wherever applicable / whichever details are available

**D. Document / details required for specific service request:**

- I. Duplicate securities certificate
- II. Claim from Unclaimed Suspense Account

|                    |                            |
|--------------------|----------------------------|
| Securities claimed | (in numbers)<br>(in words) |
|--------------------|----------------------------|

- III. Replacement / Renewal / Exchange of securities certificate  
(that is defaced, mutilated, torn, decrepit, worn out or where the page on the reverse is fully utilized)
- IV. Endorsement
- V. Sub-division / Splitting of securities certificate
- VI. Consolidation of securities certificate/Folios
- VII. Transmission
- VIII. Transposition

*Provide / attach original securities certificate(s) for request for item numbers III to VIII above.*

**Declaration:** All the above facts stated are true and correct to best of my / our knowledge and belief.

|              | <b>Security Holder 1 / Claimant</b> | <b>Security Holder 2</b> | <b>Security Holder 3</b> |
|--------------|-------------------------------------|--------------------------|--------------------------|
| Signature    | ✓                                   | ✓                        | ✓                        |
| Name         | ✓                                   | ✓                        | ✓                        |
| Full address | ✓                                   |                          |                          |
| PIN          | ✓                                   |                          |                          |

After processing the service request, the RTA shall issue a 'Letter of Confirmation' to the securities holder/claimant, which is 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.

**A. REQUIREMENTS/ADDITIONAL DOCUMENTATION IN CASE OF ISSUE OF DUPLICATE SHARE CERTIFICATE(S)**

A duplicate share certificate shall be issued in lieu of those that are reported lost or destroyed with prior consent of the Board/Committee of Directors and without payment of any fees and on furnishing supporting evidence and indemnity and payment of out of pocket expenses incurred by the company in investigating the evidence produced.

- (i) Affidavit on non-judicial stamp paper with appropriate value
- (ii) Indemnity Bond on non-judicial stamp paper with appropriate value
- (iii) FIR with police station with details of lost/destroyed share certificates

- a. Name
- b. Folio no.
- c. Share Certificate no (s).
- d. Distinctive nos. of shares

- (iv) A notice or advertisement in English should be published in newspaper about the fact of loss of certificate (s).

**Please take Note that** if the value of securities as on the date of submission of application does not exceed Rs. 5 lac then FIR and notice or advertisement in newspaper as stated in (iii) and (iv) above need not to be given.

Format for the required documents are enclosed.

**FORM –A**

**AFFIDAVIT**

**[For issuance of duplicate securities]**

Note: ***This affidavit is to be executed in the presence of a Public Notary***

[To be submitted in non-judicial stamp paper of appropriate value]

I/We, \_\_\_\_\_  
Son / daughter/spouse of \_\_\_\_\_ residing at \_\_\_\_\_  
\_\_\_\_\_, having Permanent Account No (s) \_\_\_\_\_ do hereby solemnly affirm  
and state on oath as follows.

1. That I/We, \_\_\_\_\_ (“all the shareholders”) hold  
the following \_\_\_\_\_ (number of) securities under Folio no. \_\_\_\_\_ in \_\_\_\_\_ (name of the company)  
in my/ our name as single holder / joint holder:

| Company<br>Name | Folio No. | No. of<br>securities<br>held | Security<br>Certificate<br>No. | Distinctive Nos. |    |
|-----------------|-----------|------------------------------|--------------------------------|------------------|----|
|                 |           |                              |                                | From             | To |
| 1)              |           |                              |                                |                  |    |
| 2)              |           |                              |                                |                  |    |
| 3)              |           |                              |                                |                  |    |

2. I/We \_\_\_\_\_ further  
swear / solemnly declare that I/ we am/are applying for issue of duplicate certificate(s) to me/us on  
the ground that the original security(ies) certificate(s) has/have been misplaced / not found by  
me/us, despite a diligent search made by me/us in this behalf.
3. I/We \_\_\_\_\_  
further swear /solemnly declare that the said securities are not sold or pledged or deposited by way  
of security to any person/company.
4. I/We \_\_\_\_\_  
\_\_\_\_\_ hereby further swear / solemnly declare that if, after the duplicate share certificate(s) is / are  
issued to us as aforesaid, the original security(ies) certificate(s) is / are at any time subsequently,  
found, recovered or traced by us or by anyone on our behalf, then, we unconditionally undertake  
not to deal with the said original share certificate(s) in any manner whatsoever (whether by physical  
transfer or dematerialization or as security or pledge) and further unconditionally undertake to  
promptly surrender the original share certificate(s) to the RTA / Company, for cancellation.

5. I/We \_\_\_\_\_ am/are making the above solemn declaration on oath with full knowledge of the fact that in the event the original security (ies) certificate(s) issued is /are found, recovered and traced by me/us and instead of surrendering the same is / are dealt with by me/us as aforesaid, the Company will be at liberty to adopt civil and / or criminal proceedings against me/us for my/our failure to promptly surrender the original security (ies) certificate(s), for cancellation and for breach of my/our solemn declaration and undertaking not to deal with the original security (ies) certificate(s) in any manner whatsoever as aforesaid at my/our entire risk as to cost and consequences.

Signature of all deponents : X \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### VERIFICATION

We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the above mentioned securities.

Deponent(s) (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_

Solemnly affirmed at \_\_\_\_\_

Signature of the Deponent(s): X \_\_\_\_\_

\_\_\_\_\_

Signed before me

Place: \_\_\_\_\_

Date : \_\_\_\_\_

X -----

Signature of Notary with Official Seal of Notary & Regn.  
No.

Form-B

INDEMNITY

[For issuance of duplicate securities]

**Note:** *This indemnity is to be executed in the presence of a Public Notary / Gazetted Officer*

[To be submitted in non-judicial stamp paper of appropriate value]

I/We, \_\_\_\_\_ Son /  
daughter / spouse / of \_\_\_\_\_ residing at  
\_\_\_\_\_ having Permanent Account No (s) \_\_\_\_\_ do hereby  
solemnly affirm and state on oath as follows.

1. That I/we, am/are the sole/joint holder/s of the Securities in following folios. I/We request you to issue duplicate certificate(s) for securities, as detailed below in my/our name(s):

| Name of the Company | Certificate No.** | Distinctive No.** | Folio No. ** | No. and Face value of securities held |
|---------------------|-------------------|-------------------|--------------|---------------------------------------|
| 1                   |                   |                   |              |                                       |
| 2                   |                   |                   |              |                                       |
| 3                   |                   |                   |              |                                       |
| 4                   |                   |                   |              |                                       |

\*\*In case of non-availability of Certificate Nos./Distinctive Nos./ Folio nos., security holder shall obtain the same from RTA.

2. That the above securities were acquired by me/us for valuable consideration out of my/our own investment/funds against allotment in Public Issue/allotment in Right Issue or acquired from the market/through inheritance in the year(s) .....
3. I/We hereby jointly and severely agree and undertake to indemnify and keep indemnified, saved, defended, harmless, the aforesaid (Name of the Company/RTA) and its successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which you may suffer and/or incur by reason of your, at my/our request, issuing the said Duplicate Securities as herein above mentioned, to the undersigned.



IN WITNESS WHEREOF the said 1) Mr. /Ms. \_\_\_\_\_ (Name and signature of the witness)

And 2) Mr. /Ms. \_\_\_\_\_ Name and signature of the witness \_\_\_\_\_ #,  
have hereunto set their respective hands and seals this day of

Address of First holder / Applicant :

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Pin code

|                      |                      |                      |                      |                      |                      |
|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|

Tel. No.

|                      |
|----------------------|
| <input type="text"/> |
|----------------------|

Signature of All holder(s) / Applicant(s) :

\_\_\_\_\_  
\_\_\_\_\_

**FOR OFFICE USE ONLY**

**Signature checked by :**

Signed before me

at: \_\_\_\_\_

on:: \_\_\_\_\_

Signature of Notary / JMFC

Official stamp & seal of the Notary Magistrate/ Notary & Regn. No.:

**(PROFORMA FOR PAPER ADVERTISEMENT)**

**N O T I C E**

-----

Notice is hereby given that Certificate(s) No(s)

.....for .....Equity Shares Rs. 10/- each  
Nos..... in ..... Limited. , ..... Standing in the name(s) of

.....

has/have been lost and that an application for the issue of duplicate certificate(s) in respect thereof has been made to the Company to whom any objection should be made within one month from the date of this announcement. The Public are cautioned against dealing in any way with these shares.

Dated      day of  
Place

## **B. REQUIREMENTS/ ADDITIONAL DOCUMENTATION IN CASE OF TRANSMISSION OF SHARES**

As per simplified procedure notified by SEBI vide its circular dated 18<sup>th</sup> May 2022 the shareholders are requested to take note of the following documentation while applying transmission of equity shares in the Company:

- (i) Format A for ready reckoner listing out documentation required for transmission of shares.
- (ii) Form C for format to be filed by nominee/claimant/legal heir while lodging transmission request to the company.
- (iii) Form-D for format of affidavit from all legal heir(s) for identification and claim of legal ownership to the shares in the company.
- (iv) Form-E for format of indemnity from claimant to whom the shares will be transmitted.
- (v) Form-F for format of no-objection from remaining legal heirs who are non-claimant.

**Please take note that** application in form C is mandatory in all cases while form-D, form-E and form-F is relevant when transmission request is made where nomination is not registered for a deceased sole shareholder.

Format for the required documents are enclosed.

## READY RECKONER: DOCUMENTS REQUIRED FOR TRANSMISSION OF SECURITIES

| Sr. No. | Documents required for transmission   | Sole holder deceased & nomination registered | Sole holder deceased & nomination <u>not</u> registered |
|---------|---|--|---|
| 1.      | Transmission Request Form   | <b>Annexure C</b>                            | <b>Annexure C</b>                                       |
| 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 nominee(s)/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 nominee/claimant/legal heir is a minor)  | ✓  | ✓   |
| 5.      | KYC* of the Claimant Guardian (in case of nominee /claimant being a minor / of unsound mind).   | ✓  | ✓   |
| 6.      | Original security certificate(s)  | ✓  | ✓   |

\*If not KYC compliant

|    |  |           |   |
|----|--|-----------|---|
| 7. | Notarized affidavit from all legal heir(s) made on non-judicial stamp paper of appropriate value on identity and claim of ownership, as per the format provided in <b>Annexure D</b> .   | <b>NA</b> | ✓ |
| 8. | In case the legal heir(s)/claimant(s) are named in the Succession Certificate or Probate of Will or Will or Letter of Administration or Legal Heirship Certificate(or its equivalent certificate), instead of the document mentioned in point 7 above, an Affidavit from such legal heir(s)/claimant(s), duly Notarised and as per the format provided in <b>Annexure D</b> , shall be sufficient. | <b>NA</b> | ✓ |
| 9. | Copy of any of the following documents:<br>(a) Succession certificate; or<br>(b) Probate of Will; or<br>(c) Will, along with a notarized indemnity bond from the legal heir(s)/claimant(s) to whom   | <b>NA</b> | ✓ |

|     |   |    |   |
|-----|---|----|---|
|     | <p>the securities are transmitted, as per the format specified provided in <b>Annexure E</b>; or</p> <p>(d) Letter of Administration; or</p> <p>(e) Court Decree; or</p> <p>(f) Legal Heirship Certificate or its equivalent, along with (i) a notarized indemnity bond from the legal heir (s)/claimant(s) to whom the securities are transmitted, as per the format specified provided in <b>Annexure E</b>; and</p> <p>(ii) No Objection from all the non-claimants, duly attested by a notary public or by a gazetted officer as per the format provided in <b>Annexure F</b>.</p> <p>The document should be Attested by the legal heir(s)/claimant(s) subject to verification with the original or duly attested by a notary public or by a Gazetted officer.</p>  |    |   |
| 10. | <p>For cases where the value of securities is up to rupees five lakhs per listed entity as on the date of submission of complete documentation in case of securities held in physical mode and up to rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode, instead of and where the documents mentioned in point 9 above are not available, the following documents may be submitted;</p> <p>(i) no objection certificate from all legal heirs(s), as per the format provided in <b>Annexure F</b>, or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer; and</p> <p>(ii) notarized indemnity bond made on non-judicial stamp paper of appropriate value, indemnifying the Share Transfer Agent/listed entity, in as per the format provided in <b>Annexure E</b>.</p> | NA | ✓ |

**Format-C**

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

**ISR 5**

To:

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

(Name of the Listed Issuer/RTA)

|   |  |
|---|--|
| <b>Name of the Claimant(s)</b><br>Mr./Ms. _____   |  |
| Name of the Guardian <input type="checkbox"/> <i>in case the claimant is a minor</i> →  | Date of Birth of the minor*<br>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<br>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<br>(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 –<br><input type="checkbox"/> Nominee <input type="checkbox"/> Legal Heir <input type="checkbox"/> Successor to the Estate of the deceased <input type="checkbox"/> Administrator of the Estate of the deceased |                         |
| <b>Name of the deceased holder(s)</b>  | <b>Date of demise**</b> |
| 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 (✓) <input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> 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)

|   |
|---|
| <b>Occupation</b> <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service<br><input type="checkbox"/> Business <input type="checkbox"/> Professional<br><input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Home Maker <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others<br>(Please specify) |
| The Claimant is <input type="checkbox"/> a Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person <input type="checkbox"/> Neither (Not applicable)  |
| <b>Gross Annual Income (₹)</b> <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs-1crore <input type="checkbox"/> >1 crore  |
| <u>FATCA and CRS information</u>  |
| Country of Birth _____ Place of Birth _____   |
| Nationality _____   |

|   |                                 |                     |
|---|---------------------------------|---------------------|
| Are you a tax resident of any country other than India? <input type="checkbox"/> Yes <input type="checkbox"/> 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 |
|   |                                 |                     |
|   |                                 |                     |
|   |                                 |                     |

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

|  |
|--|
| <input type="checkbox"/> I/We <b>DO NOT</b> wish to make a nomination. <i>(Please tick ✓ if you do not wish to nominate anyone)</i>  |
| <input type="checkbox"/> I/We wish to make a nomination and hereby nominate the person/s more particularly described in the <b>attached Nomination Form</b> 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.

Format-D

**Individual Affidavits to be given by ALL the Legal Heirs OR Legal Heirs  
named in Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of  
Administration\*/ Legal Heirship Certificate\*(or its equivalent  
certificate)\*/Court Decree\***

**(For Transmission of securities on death of Sole Holder where NO  
NOMINATION has been registered)**

*Each Deponent (legal heir) shall sign separate Affidavits.*

(To be executed on a non-judicial stamp of appropriate value and Notarized)

I, \_\_\_\_\_ Son /  
daughter \_\_\_\_\_ of  
\_\_\_\_\_ at  
\_\_\_\_\_ do hereby solemnly affirm and state on oath as  
follows.

That Mr. /Mrs \_\_\_\_\_ @ ("the  
deceased holder") held the following securities in his / her name as single  
holder:

|    | Company Name | Folio No. | No. of securities held |
|----|--------------|-----------|------------------------|
| 1) |              |           |                        |
| 2) |              |           |                        |
| 3) |              |           |                        |

☐ That the aforesaid deceased holder died *intestate* leaving behind him/her, the  
following persons as the only surviving heirs as per the Succession  
Certificate/ Legal Heirship Certificate(or its equivalent certificate)/Court  
Decree dated \_\_\_\_\_ / according to the Law of Intestate  
Succession by which he/she was governed at the time of his/her death and  
without registering any nominee. \*

OR

☐ That the aforesaid deceased holder died leaving behind the following persons  
as the legatees as per the Will/ Probated Will/ Letter of Administration dated  
\_\_\_\_\_ and without registering any nominee. \*

A copy of the **Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of Administration\*/ Legal Heirship Certificate\*(or its equivalent certificate)\*/ Court Decree\*** is attached herewith.

| Name of the Legal Heir(s) | Address and contact details | Age | Relation with the Deceased |
|---------------------------|-----------------------------|-----|----------------------------|
| 1)                        |                             |     |                            |
| 2)                        |                             |     |                            |
| 3)                        |                             |     |                            |

That among the aforesaid legal heirs, Master/ Kum. \_\_\_\_\_ aged \_\_\_\_\_ years is a minor and is being represented by Mr./Ms. \_\_\_\_\_ \$ being his / her father / mother / legal guardian.

Signature of the Deponent:

X \_\_\_\_\_

#### **VERIFICATION**

I hereby solemnly affirm and state that what is stated herein above is true and correct and nothing has been concealed therein and that we I am competent to contract and entitled to rights and benefits of the abovementioned securities of the deceased.

Solemnly affirmed at \_\_\_\_\_

Signature of the Deponent:

X \_\_\_\_\_

#### **Signed before me**

Place: \_\_\_\_\_

Date : \_\_\_\_\_

X \_\_\_\_\_

Signature of Notary with Official Seal of  
Notary & Regn. No.

*\* strikeout whichever is not applicable*

# = Name of the legal heir @ = Name of the deceased security holder

\$ = Name of the Guardian

**Format-E**

Note: ***To be executed in the presence of a Public Notary / Gazetted Officer***

**Bond of Indemnity to be furnished jointly by all Legal Heir(s) including the Claimant(s)**  
**(To be submitted on Non-judicial Stamp Paper of appropriate value)**

**[For Transmission of Securities on death of Sole Securities' Holder, where no nomination has been registered]**

I/We do hereby solemnly affirm and state on oath as follows:

That Mr. /Ms. \_\_\_\_\_ Name of the deceased holder \_\_\_\_\_ was holding the following securities:

| Name of the Company | Certificate No. | Distinctive No. | Folio No. | No. of securities held |
|---------------------|-----------------|-----------------|-----------|------------------------|
| 1                   |                 |                 |           |                        |
| 2                   |                 |                 |           |                        |
| 3                   |                 |                 |           |                        |
| 4                   |                 |                 |           |                        |

That the aforesaid deceased holder died *intestate* on \_\_\_\_\_, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of intestate succession applicable to him/her by which he/she was governed at the time of his/her death.

| Name of the Legal Heir(s)/Claimant(s) | Address and contact details | Age | Relationship with the Deceased |
|---------------------------------------|-----------------------------|-----|--------------------------------|
| 1                                     |                             |     |                                |
| 2                                     |                             |     |                                |
| 3                                     |                             |     |                                |
| 4                                     |                             |     |                                |

OR

That the aforesaid deceased holder died on \_\_\_\_\_, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of testamentary succession.

| Name of the Legal Heir(s)/Claimant(s) | Address and contact details | Age | Relationship with the Deceased |
|---------------------------------------|-----------------------------|-----|--------------------------------|
| 1                                     |                             |     |                                |
| 2                                     |                             |     |                                |
| 3                                     |                             |     |                                |

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein has/have, approached \_\_\_\_\_ (Name of the Company/RTA) with a request to transmit the aforesaid securities in the name of the undersigned Mr. /Ms. [Name(s)] of the legal heir(s)/claimant(s)] \_\_\_\_\_ #, on my/our behalf, without insisting on production of a Succession Certificate/ Probate of Will / Letter of Administration or any Court order, for which we execute an indemnity as is herein contained and on relying on the information herein given by us, believing the same to be true.

In consideration therefore of my/our request to transfer/transmit the above said securities to the name of the undersigned Mr. /Ms. [Name(s) of the legal heir(s)/claimant(s)] #,

I/We hereby jointly and severely agree and undertake to indemnify and keep indemnified, saved, defended, harmless, [Name of the Company/ Issuer and any RTA] and its successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which they may suffer and/or incur by reason of transferring the said securities as herein above mentioned, at my/our request to the undersigned Mr./Ms. [Name(s) of the legal heir(s)/claimant(s)] #, without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court order.

IN WITNESS WHEREOF the said 1) Mr. /Ms. \_\_\_\_\_ (Name and signature of the witness) \_\_\_\_\_

And 2) Mr. /Ms. \_\_\_\_\_ Name and signature of the witness \_\_\_\_\_ #, have hereunto set their respective hands and seals this day of

\_\_\_\_\_. Signed and delivered by the said legal heir/s.

| Name the Legal Heirs | Signature of the Legal Heirs |
|----------------------|------------------------------|
| 1                    | X                            |
| 2                    | X                            |

|   |   |
|---|---|
| 3 | X |
|---|---|

(\*) = Name of the deceased security holder      (#) = Name of the claimant/s

Signed before me

at: \_\_\_\_\_

on: \_\_\_\_\_

Signature of Notary

Official stamp & seal of the Notary & Regn. No.:

**Format-F**

Note: ***To be executed in the presence of a Public Notary / Gazetted Officer***

[To be submitted in non-judicial stamp paper of appropriate value]

No-Objection Certificate from the Legal Heir(s)

**Format of NOC from other Legal Heir(s) for Transmission of Securities  
in favour of the Claimant(s) wherein the Sole Holder is deceased and  
NO NOMINATION has been registered**

**DECLARATION**

I/We, the legal heir(s) of late Mr. / Ms \_\_\_\_\_ (name of the deceased holder)  
declare as follows –

- (i) That the above named deceased holder was holding the following securities in  
his / her name as single holder:

| Name of the Company | Folio No. | No. of securities held |
|---------------------|-----------|------------------------|
| 1)                  |           |                        |
| 2)                  |           |                        |
| 3)                  |           |                        |

- (ii) That the deceased had died intestate on D D / M M / Y Y Y Y .and without  
registering any nominee.
- (iii) That the following Claimant(s) has/have applied for the transmission of the  
aforesaid securities:

| Name of the Claimant(s) | Address and contact details | Age | Relationship with the deceased |
|-------------------------|-----------------------------|-----|--------------------------------|
| 1)                      |                             |     |                                |
| 2)                      |                             |     |                                |
| 3)                      |                             |     |                                |

- (iv) That I / We are the legal heir(s) of the deceased holder, apart from the Claimant(s) who has/ have applied for transmission of the aforesaid securities and our details are as follows:

| Name of the Legal Heir(s) | Address and contact details | Age | Relationship with the deceased |
|---------------------------|-----------------------------|-----|--------------------------------|
| 1)                        |                             |     |                                |
| 2)                        |                             |     |                                |
| 3)                        |                             |     |                                |

- (v) I / we hereby declare that, I / we do not desire to make any claim in respect of the title to the aforesaid securities held by the deceased and I / we hereby willfully relinquish & renounce all my /our rights in respect of the aforesaid securities and shall have no legal claim upon said securities in future.
- (vi) Accordingly, I / we declare that I / we have NO OBJECTION WHATSOEVER in \_\_\_\_\_ (Name of the Company) transmitting the aforesaid securities in favour of the Claimant(s) Mr. / Ms. \_\_\_\_\_.
- (vii) I / we hereby state that whatever is stated herein above are true to the best of my/our knowledge and nothing has been concealed therein.

Name(s) and Signature(s) of Legal Heir(s) who are Non – Claimant(s):

1) \_\_\_\_\_  
 2) \_\_\_\_\_  
 3) \_\_\_\_\_

#### VERIFICATION

We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the above mentioned securities.

Solemnly affirmed at \_\_\_\_\_

Deponent(s) (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_