



Association of Mutual Funds in India

135/BP/ 126 / 2026-27

Date: Sept 4, 2026

To All AMFI Members

AMFI Best Practices Guidelines Circular No. 126 / 2026-27 **Updated Guidelines on Transmission of Units**

To enhance ease of investing in the securities market and to make the transmission process more uniform, efficient and investor-friendly, SEBI has simplified the procedure for transmission of securities vide Circular No. HO/38/13/11(14)2026-MIRSD-POD/I/17111/2026 dated July 23, 2026, titled "*Ease of Doing Investment and Ease of Doing Business – Simplification and Standardisation of the Framework for Transmission of Securities.*"

2) Pursuant to the aforesaid circular, SEBI has also revised the formats of various documents required for processing transmission requests and introduced the concept of *Quick Transmission Processing (QTP)*.

3) Accordingly, the existing AMFI guidelines on transmission of mutual fund units have been aligned with the revised SEBI framework, while incorporating certain additional safeguards considered necessary for mutual fund transactions. The revised guidelines and prescribed formats are enclosed as Annexure A and Annexure B.

4) All other provisions of AMFI Best Practice Guidelines Circular No. 85/2020-21 dated June 26, 2020 and AMFI Best Practice Guidelines Circular No. 110/2023-24 dated January 31, 2024 relating to:

- (i) mandatory transmission of units prior to processing redemption requests;
- (ii) the uniform process for transfer of unclaimed amounts (including unclaimed IDCW/redemption proceeds) to the rightful claimant; and
- (iii) continued efforts by AMCs to promote awareness regarding the nomination facility,

shall remain unchanged.

5) Members are advised to adopt and implement the revised guidelines, standard forms and formats, and the common set of documents prescribed herein, and to make the same available on their respective websites as well as on the websites of their RTAs at the earliest.

6) Members are requested to take note of the contents of this circular, ensure due compliance, and place the same before their Trustees and AMC Board at the next meeting for information.

Yours faithfully,

Chief Executive



Annexures:

1. Annexure A - Guidelines for Transmission
2. Annexure-OVD
3. Annexure B - Simplified Grid for Documentation Requirement for Transmission of Securities

Attachments:

Annexure-QTP - Transmission Request Form-cum-Undertaking for Quick Transmission Process (QTP) where No Nominee registered.

FORM-1 Request for Deletion of name(s) of Joint Holders in case of death of the 1st and 2nd Joint Holders.

FORM-2 Request for Transmission of Units by Surviving Joint Holder(s) on demise of 1st unit holder.

FORM-3 Transmission Request Form (under Simplified category and other than QTP Category)
(on death of the Sole holder / all holders)

FORM-4 Transmission to New Karta/Claimant (on death of HUF Karta or on Dissolution of HUF).

Annexure-1 BOND OF INDEMNITY

Annexure-2 AFFIDAVIT-CUM-NO OBJECTION DECLARATION

Annexure-3 Bank Attestation of Signature & bank account details

Annexure-4 Bank Attestation of Signature of the new Karta

MF Nomination Form.

FATCA-CRS form.

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ANNEXURE A

Guidelines for Transmission

A. Categories of Transmission Requests

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

- Transmission Claims via Quick Transmission Process (QTP) up to the specific threshold amounts.
- Transmission Claims via simplified documentation up to the defined threshold amount.
- Transmission Claims above the defined threshold amount.

B. Threshold Amounts

Type of Holding	Claims threshold under Quick Transmission Processing (QTP) [New category]	Claims threshold under simplified documentation
Securities in physical mode and MF units in non-demat mode*	₹. 10,000	₹. 10 lakhs**
Securities in dematerialised mode#	₹. 30,000	₹. 30 lakhs

* Per listed entity/MF/ SIF units in SOA (non-demat) form at PAN level.

** Listed entity may, at its discretion, enhance the value of securities from the threshold limit of rupees ten lakhs, in case of securities held in physical mode.

per beneficiary owner for securities/MF units held in demat mode.

Threshold values defined above refers to the cumulative value of units held by the deceased holder as on claim date.

If the cumulative value goes beyond the defined threshold values, all claimant(s) should adhere to the processes defined and should not limit their submission only to the extent of value applicable to them.

The value of units shall be determined by the claimant based on the last declared NAV applicable at the time the fresh or re-submitted transmission request is accepted.

C. Common and Scenario-Specific documents to be submitted by the Claimant

- 1) Original Transmission Request Form (duly filled and signed) in the format prescribed for each claim categories
- 2) Verifiable death certificate (as per SEBI circular dated July 23, 2026) of the deceased holder.
- 3) Copy of the Statement of account (SOA) if available or Original security certificate, where applicable.
- 4) If the claimant is a minor, a birth certificate or school leaving certificate or passport, or Aadhaar extract showing the last four digits and date of birth shall be submitted and attested by the natural or legal guardian.
- 5) KYC of the Guardian (in case of nominee /claimant being a minor / of unsound mind).
- 6) FATCA-CRS Declaration in a prescribed format.
- 7) Nomination or Nomination Opt-out form as per SEBI format.
- 8) Signature of the Nominee/ Claimant shall be attested only by a Notary Public or a Judicial Magistrate First Class (JMFC) or banker attestation of signature in their letter head with claimant name, PAN, address as per bank records and attested officer's Name, Emp. No., Designation, Branch name Branch Address.



D. Additional documents applicable for QTP category only.

- 9) Document evidencing relationship between the claimant and the deceased security holder (applicable only where claimant is parent, spouse, child, or parent-in-law) or affidavit as prescribed as part of QTP form itself. Refer FORM-QTP.
- 10) Undertaking on plain paper as per format as prescribed as part of QTP form. Refer FORM-QTP.

E. Additional requirements under simplified category - If the transmission value is above the QTP value but within the defined threshold, that is, more than INR 10,000 and up to INR 10 lakhs for mutual fund units held in non-demat mode, the following additional documents shall be submitted:

- 11) Notarized indemnity bond indemnifying each MF/AMC jointly or severally by all legal heirs including the claimant as may be applicable, in the prescribed format. Refer Annexure-1.
- 12) Notarised affidavit cum NOC from all* legal heirs, confirming identification and claim of legal ownership to the securities and no objection in the prescribed format (Refer Annexure-2) **[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.

**1. 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 following documents shall not be applicable:*

- (i) Notarised indemnity bond.*
- (ii) Affidavit-cum-NOC from non-claimant legal heir(s).*

2. The indemnity and affidavit-cum-NOC shall be executed on non-judicial stamp paper of appropriate value as specified under the Stamp Act of the state where the claimant resides. In case of NRIs, stamp duty applicable would be that of State where AMC registered office is located.

F. Additional requirements - If the transmission value exceeds the defined threshold, that is, above INR 10 lakhs for mutual fund units held in non-demat mode per mutual fund, the following documents shall be submitted in addition to the documents stated above:

- 13) Notarised affidavit cum NOC from all* legal heirs, confirming identification and claim of legal ownership to the securities and no objection in the prescribed format (Refer Annexure-2)
- 14) 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 the specified format; **[OR]**
 - Copy of Succession certificate or Letter of Administration or Court Decree or any other order of a court of competent jurisdiction.

Note:

**1. 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 following documents shall not be applicable:*

- (i) Notarised indemnity bond.*
- (ii) Affidavit-cum-NOC from non-claimant legal heir(s).*



2. The indemnity and affidavit-cum-NOC shall be executed on non-judicial stamp paper of appropriate value as specified under the Stamp Act of the state where the claimant resides. In case of NRIs, stamp duty applicable would be that of State where AMC registered office is located.

3. The processing entities may, for cases above threshold for simplified documentation, seek additional documents over and above those prescribed by SEBI, if so required and for reasons to be recorded in writing.

Refer transmission matrix attached for the detailed applicability of these documents at each scenario.

G. Guidelines for Transmission for under various scenarios

The list the documents required for transmission under various scenarios is explained in the following paragraphs:

I. QTP category (Value up to ₹. 10,000) where No Nominee registered

- Request Form (FORM-QTP)
- Common set of documents as specified C & D above.

J. Deletion of names of the deceased unit holders in case of death of 2nd and/or 3rd Holder

- Request Form (FORM-1) from surviving unitholder(s) requesting for Deletion of name(s) of Deceased 2nd and/or 3rd Holder.
- Common set of documents as specified C above.

II. Transmission of Units to surviving unit holder(s) in case of death of the 1st holder

- Transmission Request Form (FORM-2) for Transmission of Units to the surviving unitholder/s on demise of 1st unit holder.
- Common set of documents as specified C above.

II. Transmission of Units to the registered Nominee/s in case of death of sole or all unitholders

- Transmission Request Form (FORM-3) for Transmission of Units in favour of the Nominee(s).
- Common set of documents as specified C above.

If Nominee PAN is already registered in the deceased holder folio(s) and the same nominee(s) makes a transmission claim, following documents are not mandated.

- If the transmission amount is up to ₹ 10 Lakhs, Nominee's signature attested by the Bank Manager as per Annexure-3 In case the Nominee is a minor, signature of the guardian (as per the bank account of the Minor or the joint account of the minor with the guardian) shall be attested.
- If the transmission amount is for more than ₹ 10 Lakhs, as an operational risk mitigation measure, signature of the Nominee shall be attested by a Notary Public or a Judicial Magistrate First Class (JMFC) with seal and date in the space provided for signature attestation in the TRF itself below the signature of the claimant.

III. Transmission of Units to the claimant/s on death of the Sole unitholder or ALL unitholders, where there is NO nomination has been registered

Transmission Request Form (FORM-3) for Transmission of Units to the claimant.

Common set of documents as specified C above.

Additional documentation - ID proof [PAN/Redacted Aadhaar/Voter-ID/Passport or any other valid Officially Valid Document (OVD) as per PMLA guidelines or issued by Government authorities] or original cancelled cheque having the name of the deceased person attested by the claimant(s), duly notarized or originals can be shown at the AMC branches and Original Seen and verified (OSV) seal



attested by them. If AMC branch is not available, RTA branch may affix OSV subject to production of original.

a. If the transmission amount is up to ₹. 10 Lakhs:

- Refer Section E for specified set of documents required.
- Bank Attestation of signature of the claimant (including minor Guardian) by the Bank Manager as per Annexure-3.
- Any appropriate document (PAN/Passport/Masked Aadhaar, etc.) issued by Government Authorities evidencing relationship of the claimant/s with the deceased unitholder/s.

b. If the transmission amount is more than ₹. 10 Lakhs:

- Refer Section F for specified set of documents required.
- Signature of the claimant duly attested by a Notary Public or a JMFC with seal and date in the space provided for signature attestation in the FORM-3 itself below the signature of the claimant. In case the claimant is a minor, the signature of the guardian (as per the bank account of the minor or the joint account of the minor with the guardian) shall be attested.
- Identity proof (e.g., copy of PAN card, redacted Aadhaar card, passport) of all legal heirs signing the NOC/affidavit other than claimant/s (i.e., legal heirs other than the claimant mentioned in Probate or Letters of Administration or Succession Certificate).
- Any appropriate document (PAN/Passport/Masked Aadhaar, etc.) issued by Government Authorities evidencing relationship of the claimant/s with the deceased unitholder/s.

IV. Change of Karta upon death of the Karta of Hindu Undivided Family (HUF)

If the case of a HUF, the property of the HUF is managed by the Karta, and the HUF does not come to an end in the event of death of the Karta. In such a case, the surviving co-parceners of the HUF will need to appoint a new Karta, who needs to submit following documents for transmission:

- Request Form (FORM-4) for change of Karta upon demise of the registered Karta.
- Verifiable death certificate (as per SEBI circular dated July 23, 2026) of the deceased holder.
- Bank's letter certifying that the signature and details of the new Karta have been updated in the bank account of the HUF & attesting the signature of the new Karta as per Annexure-4.
- KYC acknowledgment OR KYC form of the new Karta and the HUF, if not KYC-compliant. Transmission will be completed only after the KYC status is updated as "KYC complied".
- Indemnity Bond as per Annexure 5 signed by all surviving coparceners (including the new Karta).
- Any appropriate document evidencing relationship of the new Karta and the other coparceners with the deceased Karta.
- If the transmission amount is for more than ₹.10 lakhs, the signature of the new Karta shall be attested by a Notary Public or a JMFC in the space provided for signature attestation in the FORM itself below the signature of the claimant.

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V. Transmission of Units to the claimant/s upon death of the Karta of HUF, where there is no surviving co-parcener or the HUF has been dissolved/partitioned after demise of the Karta

- Transmission Request Form (FORM-4) for Transmission of Units to the Claimant.
- Self-attested (by the claimant) copy of the verifiable death certificate of the deceased HUF Karta.
- Self -attested copy of PAN Card of the claimant(s) / guardian (in case the new Karta is a minor).
- KYC acknowledgment or KYC form of the claimant(s) /guardian (in case the new Karta is a minor).
- Cancelled cheque with the claimant's name pre-printed thereon OR copy of the claimant's recent bank statement/passbook which is not more than 3 months old.
- If the transmission amount is up to ₹. 10 lakhs, attestation of the signature of the claimant by bank manager as per FORM-6. In case the claimant is a minor, the signature of the guardian (as per the minor's bank account / minors joint account with the guardian) shall be attested.
- If the transmission amount is for more than ₹. 10 lakhs, the signature of the claimant shall be attested by a Notary Public or a JMFC in the space provided for signature attestation in the TRF itself below the signature of the claimant.
- Bond of Indemnity to be furnished by the Claimant as per Annexure-VI.
- If the HUF has been dissolved/partitioned by the surviving members after demise of the Karta, the transmission of units shall be processed on the basis of any of the following documents:
 - Notarized copy of Settlement Deed, OR
 - Notarized copy of Deed of Partition, OR
 - Notarized copy of Decree of the relevant competent Court.

Please note that in case of demise of Karta

- The Karta role typically passes to the eldest surviving coparcener (son or daughter).
- By consent of all surviving adult coparceners, another adult coparcener can be appointed as the Karta.
- If there are no surviving adult coparceners and the children are minors, the wife manages the HUF assets in a guardian capacity

VI. Enhanced due diligence process and additional documentation/information requirements when discrepancies / dispute is noted or alert is received.

The above defined process is applicable when there is no exception or abnormality experienced, no contradicting claim(s), objections from anyone else, all documents are perfectly in order while processing the claims.

Annexure to the Circular Clause 1.3 - Further, the framework shall not apply where there are any dispute or contesting/competing claims. In such cases, the claimants shall be required to resolve the matter through appropriate judicial or legal proceedings.

Clause 6.1.7 states that - *Any deviation from the procedure laid down by SEBI, shall be communicated to the claimant with reasons to be recorded in writing within a specified time. In connection with these two clauses, AMC shall exercise additional due diligence on the following scenarios:*



Scenario 1 <i>Circular clause</i> 4.2.2.3 Note – 3)	This applies where: • There is a specific, communicable and objectively identifiable concern regarding the authenticity, execution, interpretation of the Will, or the completeness/consistency of heirship information, but no actual dispute or competing claim has yet emerged. • Each must be specifically identified and recorded and not asserted generically visible irregularity in Will execution / attestation. • Ambiguity in the Will's terms as to the units or residue. • The presence of multiple testamentary instruments not clearly reconciled, an heir named in the affidavit who cannot be independently verified or located, or any other case-specific red flag identified by an operations / fraud review; • Address mismatch between Death Certificate, Father's / Mather's / Spouse Name mismatch or not found vs. what is available in MF/RTA/KYC records and no proper reason or documents submitted. • <i>Any other scenarios that may warrant additional information / documents.</i>
Scenario 2 <i>Clause 1.3</i>	Where at the time of processing claims, any one of the following or multiple discrepancies noted: • a written objection from any other claimant(s) / legal heir(s) with valid documents or a stated ground is received. • another Will or codicil is produced as updated one or revised Will. • Advocate/Legal notice asserting a competing claim is received. • Communication from any persons citing that court proceedings are filed on such claims or any injunction or other restraining order is issued by the competent court/authorities or • any other information is received that discloses an actual, non-frivolous dispute as to entitlement.

Steps to be taken by the AMC/RTA on the above specific circumstances / scenarios:

- Hold the transmission claim processing till clarity arrived or conflict resolution arrived, if possible, within 21 days, else treat the same as NIGO.
- Mandate competent court order or Probated Will.
- Conduct In-Person Verification through AMC branches wherever required.
- Seek additional documents or clarifications as deemed necessary till it resolve the discovered discrepancies.
- Communicate the noted discrepancies in specific manner and additional document / information requirements to the claimant(s) and maintain the evidence of such communication.



H. Types of Validation

1. Verifiable Death Certificate Validation including Foreign Death Certificate.

- Death certificate should be verifiable via QR Code scanner and accessible through the respective websites.
- If the death certificate is not verifiable, a copy of the death certificate shall be accepted only if attested by a Notary Public or verified with an OSV seal by the AMC branch where available, or by the RTA branch where the AMC does not have a branch.
- If API is facilitated to connect with Registrar of Births and Deaths through KRA system or through any authorized sources, it should be validated thereof.
- Death certificate as downloaded from the website or copy of the original death certificate should be attested by the claimant and original should be shown to the AMC branches in person.
- Where AMC branches are not available, IPV and OSV shall be done by RTA branches subject to the production of the requested original documents for verification and validation of the claimants as much as possible.
- If the claimant produces original death certificate (printed in English) for verification at branches of AMC/CAMS as defined above, AMC/RTA official to verify the original and affix the OSV seal suitably preferably with AMC/RTA branch seal, Name of the verifier and Employee Number/Code and signature.
- In case of Death certificate issued in India in other than English, it should be translated in English along with the certification from the professional translator and the same is attested by the notary public / JMFC before submission to AMC/RTA branches.
- In case of Death certificate issued in foreign language, it should be translated in English and certified by the Indian Embassy of the respective country where deceased certificate is issued or certificate from the following:
 - Apostille **(OR)**
 - Attestation by authorized officials of overseas branches of Scheduled Commercial Banks registered in India where deceased holder is having bank account. **(OR)**
 - Attestation by authorized officials of foreign banks where deceased holder is having bank account, with whom Indian Banks have correspondent banking relationship.
- If Death Certificate cannot be validated via above stated process, the same would be treated as NIGO.

2. Stamp Value

Indemnity bonds and affidavits shall be executed on non-judicial stamp paper of appropriate value, whether physical or e-stamp, as applicable in the State in which the claimant resides. In case of NRIs, stamp duty applicable would be that of State where AMC registered office is located.

3. Monthly Reporting

AMC shall provide monthly reports as per the following format to SEBI regarding processing of transmission requests under revised transmission framework for a period of 6 months on rta@sebi.gov.in by 15th of succeeding month or any other timelines which SEBI may prescribe and communicated to the AMCs:

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Category	Number of cases pending at the beginning of the month	Number of cases processed during the month				Number of cases pending at the end of month
		Received	Approved	Rejected	Cases where additional documents were sought with reasons	
QTP						
Simplified						
Above Threshold						

I. Other Obligations of AMC/RTAs

- This guidelines, together with the applicable forms, formats and list of documents required from claimants for each transmission scenario, shall be made available on the website of each AMC/RTA and in physical mode.
- Upon receipt of the transmission form and supporting documents, an acknowledgement shall be issued or sent to the claimant's registered email address or mobile number.
- If any deficiency is identified in the information or documents submitted, the deficiency shall, where possible, be communicated to the claimant along with the acknowledgement.
- On submission of missing information/documents, AMC/RTA should issue a confirmation to the claimant that all applicable information/documents have been received for processing the claims.
- AMC/RTA shall facilitate online mechanism for submission of claim request with supporting documents.
- Once claim request along with the supporting documents are uploaded via online mode, acknowledgement/confirmation should be triggered to the registered email/mobile and enable online tracking of the status.
- Validation may be undertaken based on uploaded images and shall be communicated suitably to the claimant. However, except for QTP forms, processing shall commence only after receipt of the original documents at the AMC/RTA headquarters or other designated processing location.
- Any deviation from the procedure prescribed by SEBI shall be communicated to the claimant, with reasons recorded in writing, within the specified timeline.
- In cases where processing entities exercise the discretion to seek additional documents; such requirement of additional document shall be consistent across processing entities and for similar kind of cases of clients.
- AMC/RTA shall process the transmission case within 21 calendar days, or within such other period as may be specified by the Board, from the date of receipt of all required documents associated with the claim. For example, if the initial claim form and documents are submitted on June 02, 2026, deficiencies are communicated on June 04, 2026, and the claimant submits the pending documents or information on June 10, 2026, the prescribed TAT shall commence from June 10, 2026.
- If the transmission claim is not settled within the stipulated timeline or is rejected, the entity shall communicate the reasons for delay or rejection to the claimant in writing.
- If any supporting documents have a disclaimer to restrict the reliance of such documents to the specific amount or any other specific conditions thereof, AMC/RTA shall take into consideration and accordingly allow/disallow the transmission claim.

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J. Transmission claims on investments from minors

- 1) If the minor investor expires before they attain 18 years of age, transmission rights are vested with the registered Guardian and hence registered Guardian can make a claim to transfer the units in his/her favour and redeem thereof, provided the date of such claim made before the deceased minor attain the age of 18 years.
- 2) If the age of minor attained 18 years on the date of such claims, verifiable death certificate of the deceased minor investor should be mandated.
- 3) If the registered guardian expires before minor investor attaining the majority or before attaining 18 years of age, change of Guardian can be requested as per the process defined and submit the request with verifiable death certificate, suitable ID proof, relationship proof, signature attestation, etc. If both parents expired or single parent where he/she expires, court order is mandatory to make suitable claims by the claimant to act as Legal Guardian. If there is no claim, units will remain in the name of minor and all accrual benefits would get accumulated. Upon minor attaining majority, appropriate process has to be complied to activate the units for any withdrawal.

Annexure - OVD

1. Unique Identification Number (UID) (Aadhaar).
2. Valid Passport.
3. Driving license in Smart Card form, Book form or copy of digital form.
4. 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 duly attested by their employer with date and organization stamp.
5. PAN card with photograph.
6. Marriage certificate.
7. Divorce decree.

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Annexure- B - Simplified Grid for Documentation Requirement for Transmission of Securities

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
A	Common documents (mandatory in all cases)			
1	Original Transmission Request Form (duly filled and signed) in the format prescribed for each claim categories.	✓	✓	✓
2	Verifiable death certificate (as per SEBI circular dated July 23, 2026) of the deceased holder.	✓	✓	✓
3	Copy of the Statement of account (SOA) if available or Original security certificate, where applicable.	✓	✓	✓
4	If the claimant is a minor, copy of birth certificate or school leaving certificate or passport, or masked Aadhaar showing the last four digits and date of birth duly attested by the natural or legal guardian.	✓	✓	✓
5	KYC of the Guardian (in case of nominee /claimant being a minor / of unsound mind.	✓	✓	✓
6	Nomination Form or Nomination Opt-Out form	✓	✓	✓
7	FATCA-CRS Declaration in a prescribed format, wherever applicable	✓	✓	✓
8	Signature of the Nominee/ Claimant shall be attested only by a Notary Public or a Judicial Magistrate First Class (JMFC) or banker attestation of signature in their letter head with claimant name, PAN, address as per bank records and attested officer's Name, Emp. No., Designation, Branch name Branch Address.	✓	✓	✓
B	Relationship Proof and Undertaking – applicable for QTP only			
9	Document evidencing relationship between the claimant and the deceased security holder (applicable only where claimant is parent, spouse, child or parent-in-law).	✓	-	-
10	Transmission Request Form-cum-Undertaking on plain paper as per specified format.	✓	-	-
C	Indemnity and consent - applicable for "Simplified" category			
11	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.	-	✓	-

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Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
12	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			
13	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.	-	-	✓
14	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.

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