



TRANSMISSION REQUEST FORM-CUM-UNDERTAKING FOR QUICK TRANSMISSION PROCESSING (QTP)

To, Upstox Securities Private Limited 30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai, Maharashtra - 400013			Date		
Sr No	Documents	Attestation	QTP with Relationship proof ☐	QTP without Relationship proof ☐	Submitted Status
1	Transmission Request Form (QTP)	Signed	Req	Req	
2	Client Master List/Report (CML/R) of claimants' demat account	NA	Req	Req	
3	Death Certificate (Original/Notarized/QR code)	Original/Notarized/QR code	Req	Req	
4	Nomination Opt-Out form	NA	Req	Req	
5	Relationship Proof (where claimant is spouse/child/parent/parent-in-law)	Self Attested	Req	NA	
6	QTP-Affidavit	All Claimant/s and non claimant/s with Notarized	NA	Req	
Note	If claimant is a minor - Copy of Birth Certificate or School leaving certificate/ Passport or Aadhaar (where the date of birth is available)	Attested by the Natural/Legal Guardian	Req	Req	
	KYC of Guardian (if claimant is a minor or of unsound mind)	Signed	Req	Req	
	FATCA / CRS declaration form for the NRI	Signed	Req	Req	

PART A - CLAIMANT AND DECEASED HOLDER INFORMATION

Deceased Details																
Name												Date of Death				
Demat BO ID (16 digits)	1	2	0	8	1	8	0								Trading ID	
Claimant Details				Category of Claimant				☐ Parent		☐ Spouse		☐ Child		☐ Parent-in-law		
Sr No	Name				BO ID				PAN/PEKRN (number only)				Percentage			
1																
2																
3																

ANNEXURE-A: PROOF OF RELATIONSHIP (ANY ONE OF THE BELOW)

A self-attested copy consisting the name of the deceased in the proof of relationship document of the claimant is enclosed herewith:

☐ PAN	☐ Passport	☐ Birth Certificate	☐ Will	☐ Letter of Administration
☐ Aadhar	☐ Ration Card	☐ School Leaving Certificate	☐ Court Decree	☐ Legal Heirship Certificate
☐ Voter ID	☐ Marriage Certificate	☐ School Records/Service Records	☐ Succession Certificate	☐ Probate of Will (where available)

PART B - TRANSMISSION REQUEST FORM

I/we, the claimant/s named hereinabove, hereby inform you about the demise of the above-mentioned security/unit holder/s and request you to transmit the securities/units held by the deceased security/unit holder/s in my favor in my capacity as:	☐ Legal Heir ☐ Successor to the Estate of the deceased ☐ Administrator of the Estate of the deceased
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PART C - UNDERTAKING

I/we, the claimant named herein above, hereby inform you the legal heirs/s of the above-mentioned deceased, residing at the below mentioned address do hereby state and undertake as under:

1. The deceased holder held the following securities / MF unit holdings in his/her name as sole/single holder:

Sr No	ISIN	Name of the Securities	No. of Securities
1	IN		
2	IN		
3	IN		
4	IN		
5	IN		
6	IN		
7	IN		
8	IN		
9	IN		
10	IN		

2. The above referred deceased holder died without registering any nominee.

3. That I/We are the legal heir/s of the deceased as per the details in the below table and that we are the only legal heirs/legatees of the deceased holder.

Sr No	Name of the Legal Heir/s	Age	Relationship with the deceased
1			
2			
3			
4			
5			

Therefore, I/We, the Legal Heir/s/Claimant/s, have approached Upstox Securities Private Limited with a request to transmit the aforesaid securities in the name of the undersigned legal heir/s/claimant/s, on my/our behalf. I/We am/are furnishing the documents as mentioned in the above checklist for transmission of the securities in our name.

PART D - OTHER INFORMATION ABOUT CLAIMANT

Applicable only for transmission of units held in SOA - Not Applicable

PART E - DECLARATION AND RESPONSIBILITY CLAUSE

I/We confirm that the above documents have been submitted and that the information, facts, and particulars furnished by me/us in this undertaking and the accompanying documents are true, correct, and complete to the best of my/our knowledge and belief, and no material information/fact has been concealed or misrepresented therein. I/We further undertake and confirm that in the event any information, declaration, or document furnished by me/us herein is subsequently found to be false, incorrect, incomplete, forged, or fraudulent, the responsibility and liability for resolving the resultant discrepancy, dispute, or claim - including any consequential loss, cost, or legal action - shall rest solely and exclusively with me/us, the claimant/s, and I/We shall keep the Company/AMC/RTA/Depository Participant/Depository fully indemnified and harmless against any loss, claim, demand, or liability arising directly or indirectly therefrom. I/We also acknowledge to share the above demise information to the regulatory or statutory authorities, or to the entities entrusted by the regulatory/statutory authorities, from time to time for onward circulation/dissemination to all applicable regulated entities.

I confirm that after the account holder passed away, the Trading/Demat account may have been accessed or used by mistake or unknowingly. I did not intentionally use the account to trade, make transactions, or get any personal/ unauthorized benefit.

☐ Yes
☐ No

Sr No	Claimant/s Name	Address and Contact Details	Claimant/s Signature
1			
2			
3			

Date

Place

Note: If claimant/s/legal heir's are Minor, such minor is represented herein by his/her natural (Father/Mother)/legal guardian. Where any person required to sign this document is unable to sign, he/she may affix his/her notarized left thumb impression in lieu of signature.

For Office Use Only				
	Received	Maker	Execution	Checker
Date				
Name				
Seal & Signature				

ANNEXURE OF TRANSMISSION

Deceased BO ID		1 2 0 8 1 8 0												Trading ID				
Sr No	ISIN	Securities	Quantity of Nominee's/Claimant's															
			1	2	3													
1	IN																	
2	IN																	
3	IN																	
4	IN																	
5	IN																	
6	IN																	
7	IN																	
8	IN																	
9	IN																	
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42	IN																	
43	IN																	
44	IN																	
45	IN																	

Note: if required, multiple annexures can be attached.

Signature			
Name			
	1st Nominee's/Claimant's	2nd Nominee's/Claimant's	3rd Nominee's/Claimant's
Signature and seal of Magistrate/Notary (If nominee is not recorded)		Depository Participant's Seal and Signature	