



## TRANSMISSION REQUEST FORM

| To,<br><b>Upstox Securities Private Limited</b><br>30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai, Maharashtra - 400013 |                                                                                                                                              |                                                                                        |                                     | Date                                                      |                                                       |                  |
|---------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------|-----------------------------------------------------------|-------------------------------------------------------|------------------|
| Sr No                                                                                                                                       | Documents                                                                                                                                    | Attestation                                                                            | Nominee<br><input type="checkbox"/> | Without Nominee above 30K-30L<br><input type="checkbox"/> | Without Nominee above 30L<br><input type="checkbox"/> | Submitted Status |
| 1                                                                                                                                           | Transmission Request Form                                                                                                                    | Signed                                                                                 | Req                                 | Req                                                       | Req                                                   |                  |
| 2                                                                                                                                           | Client Master List/Report (CML/R) of claimant/s demat account                                                                                | NA                                                                                     | Req                                 | Req                                                       | Req                                                   |                  |
| 3                                                                                                                                           | Death Certificate                                                                                                                            | Original/Notarized/QR code                                                             | Req                                 | Req                                                       | Req                                                   |                  |
| 4                                                                                                                                           | Nomination Form or Nomination Opt-Out form                                                                                                   | NA                                                                                     | Req                                 | Req                                                       | Req                                                   |                  |
| 5                                                                                                                                           | Bond of Indemnity (BOI)                                                                                                                      | All Claimant/s with notarized                                                          | NA                                  | Req                                                       | Req                                                   |                  |
| 6                                                                                                                                           | Affidavit Cum No Objection Certificate And/OR Family Settlement Deed (Notarized/Gazetted officer/Approved by a Magistrate/Judge/Civil Court) | All Claimant/s and non claimant/s with Notarized                                       | NA                                  | Req                                                       | Req                                                   |                  |
| 7                                                                                                                                           | Any one from below (A,B,C,D,E,F)                                                                                                             | NA                                                                                     | NA                                  | -                                                         | Req                                                   |                  |
| A                                                                                                                                           | Legal Heirship/Surviving Membership Certificate and BOI                                                                                      | Issued by relevant authority not below the rank of a Tehsildar or equivalent authority | NA                                  | NA                                                        | -                                                     |                  |
| B                                                                                                                                           | Will and BOI                                                                                                                                 | As per Indian Succession Act, 1925                                                     | NA                                  | NA                                                        | -                                                     |                  |
| C                                                                                                                                           | Court Decree                                                                                                                                 | Issued by Court                                                                        | NA                                  | Optional                                                  | -                                                     |                  |
| D                                                                                                                                           | Probate of the Will                                                                                                                          | Issued by Court                                                                        | NA                                  | Optional                                                  | -                                                     |                  |
| E                                                                                                                                           | Succession Certificate                                                                                                                       | Issued by Court                                                                        | NA                                  | Optional                                                  | -                                                     |                  |
| F                                                                                                                                           | Letter of Administration                                                                                                                     | Issued by Court                                                                        | NA                                  | Optional                                                  | -                                                     |                  |
| Note                                                                                                                                        | If claimant is a minor - Copy of Birth Certificate or School Leaving Certificate/Passport/Aadhaar (where date of birth is available)         | Attested by the Natural/Legal Guardian                                                 | Req                                 | Req                                                       | Req                                                   |                  |
|                                                                                                                                             | KYC of Guardian (if claimant is a minor or of unsound mind)                                                                                  | Signed                                                                                 | Req                                 | Req                                                       | Req                                                   |                  |
|                                                                                                                                             | FATCA / CRS declaration form for the NRI                                                                                                     | Signed                                                                                 | Req                                 | Req                                                       | Req                                                   |                  |

For any court issued documents as mentioned above (A-F), the BOI and Affidavit-cum-NOC is not applicable.

### PART A - CLAIMANT AND DECEASED HOLDER INFORMATION

|                         |  |   |   |   |   |   |   |            |  |  |  |  |  |  |  |
|-------------------------|--|---|---|---|---|---|---|------------|--|--|--|--|--|--|--|
| Deceased Details        |  |   |   |   |   |   |   |            |  |  |  |  |  |  |  |
| Name                    |  |   |   |   |   |   |   | Trading ID |  |  |  |  |  |  |  |
| Date of Death           |  |   |   |   |   |   |   |            |  |  |  |  |  |  |  |
| Demat BO ID (16 digits) |  | 1 | 2 | 0 | 8 | 1 | 8 | 0          |  |  |  |  |  |  |  |

#### Nominee's / Claimant's Details

| Sr No | Name | BO ID | PAN/PEKRN (number only) | Percentage |
|-------|------|-------|-------------------------|------------|
| 1     |      |       |                         |            |
| 2     |      |       |                         |            |
| 3     |      |       |                         |            |

### PART B - DETAILS OF SECURITIES

|                                                                                                                                                                                                                                                                             |                                       |                                                                      |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|----------------------------------------------------------------------|
| I/we, the nominee/legal heir/claimant named hereinabove, hereby inform you about the demise of the above-mentioned security holder/s and request you to transmit the securities held by the deceased security holder as listed below in my/our favor in my/our capacity as: | <input type="checkbox"/> Nominee/s    | <input type="checkbox"/> Successor to the Estate of the deceased     |
|                                                                                                                                                                                                                                                                             | <input type="checkbox"/> Legal Heir/s | <input type="checkbox"/> Administrator of the Estate of the deceased |
|                                                                                                                                                                                                                                                                             |                                       |                                                                      |

### PART C, D & E - DECLARATION AND SIGNATURES

Part C - Other information about Nominee / Legal Heir / Claimant (Applicable only for transmission of units held in SOA) - Not Applicable

Part D - Consent by other Nominee/s to be added as Joint Holder/s (Applicable only in case of claims submitted by nominee) - 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 fully indemnified and harmless against any loss, claim, demand, or liability arising directly or indirectly therefrom. I/We also acknowledge and consent to share the above demise information with the regulatory or statutory authorities, or entities entrusted by such authorities, from time to time.

|                                                                                                                                                                                                                                                         |                                                          |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 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. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|

| Sr No | Nominee's/Claimant's Name | Nominee's/Claimant's Signature |
|-------|---------------------------|--------------------------------|
| 1     |                           |                                |
| 2     |                           |                                |
| 3     |                           |                                |

|      |  |       |  |
|------|--|-------|--|
| Date |  | Place |  |
|------|--|-------|--|

Note: If Nominee's/Claimant's/Legal Heir's is a 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 | Checker |
|------------------|----------|-------|---------|
| Date             |          |       |         |
| Name             |          |       |         |
| Seal & Signature |          |       |         |

## ANNEXURE OF TRANSMISSION

| Deceased BO ID |      |            |   |   |   |   |   |   |  |  |  |  |  |  |  | Trading ID                       |   |   |  |  |
|----------------|------|------------|---|---|---|---|---|---|--|--|--|--|--|--|--|----------------------------------|---|---|--|--|
|                |      | 1          | 2 | 0 | 8 | 1 | 8 | 0 |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 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   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 10             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 11             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 12             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 13             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 14             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 15             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 16             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 17             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 18             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 19             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 20             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 21             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 22             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 23             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 24             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 25             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 26             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 27             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 28             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 29             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 30             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 31             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 32             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 33             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 34             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 35             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 36             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 37             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 38             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 39             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 40             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 41             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 42             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 43             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 44             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |
| 45             | IN   |            |   |   |   |   |   |   |  |  |  |  |  |  |  |                                  |   |   |  |  |

Note: if required, multiple annexures can be attached.

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