AMFI Best Practices Guidelines Circular on Transmission

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			

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