

1) Documents to be submitted to process the claim as mentioned in the Form IEPF-5 viz

(For Transmission Procedure).

- i. Print out of the duly filled (online) claim form with claimant signature on all pages.
- ii. Copy of Acknowledgement.
- iii. Indemnity Bond (original).
- iv. Advance Stamped Receipt (original).
- v. Proof of entitlement (Original Security Certificates)
- vi. Self attested copy of Aadhaar Card.
- vii. Self attested copy of PAN Card.
- viii. Original cancelled cheque leaf.
- ix. Copy of Client Master List of your Demat A/c duly Self attested and duly attested by DP.
- x. Notarized copy of Death certificate.
- xi. Duly filed Transmission form.
- xii. Execute enclosed Indemnity Bond on Rs. 500/- stamp paper & Affidavit on Rs. 100/- stamp paper duly notarised for complying transmission formalities
(Total market value of securities amounting to **Less than Rs.2 lakhs** as on date of application)

OR

- xiii. Succession certificate (or) Probate of Will (or) Will (or) Letter of Administration (or) Court Decree, as may be applicable in terms of Indian Succession Act, 1925 duly attested by Notary Public seal and signatures.

(Total market value of securities amounting to **More than Rs.2 lakhs** as on date of application)
- xiv. No objection certificate (NOC), executed by all the legal heirs of the deceased holder not objecting to such transmission along with self attested copy of PAN & address proof.

LETTER OF INDEMNITY

(To be executed on Non-judicial Stamp Paper of Rs. 500/- with notarization)

To _____ Date: _____

Board of Directors

(Name and Address of the Company)

SUB : Transmission of shares/debentures/bonds standing in the name of late

Mr./Mrs./Ms. _____

I/We hereby inform you that Mr/Mrs/Ms. _____ the deceased, was holding _____ Equity Shares/Debentures/Bonds of the market value of Rs. _____ each as per details given below :

Folio No.	Certificate No.(s)	No. of Shares/Debentures/Bonds	Distinctive Nos.

Mr/Mrs./Ms. _____ died intestate without leaving a Will on the _____ day of _____ of _____ leaving behind him/her the following as his/her legal heirs :

Name	Age	Relationship with deceased
1		
2		
3		
4		

The share/debentures/bonds mentioned above were the separate and self acquired property of the deceased under the Hindu Succession Act and the persons named hereinabove are entitled to jointly inherit the aforesaid shares/debentures/bonds.

We understand that the said shares have been transferred to IEPF Authority, as the dividend amount had remained unpaid/unclaimed as per section 124 (6) of the Companies Act, 2013 read with the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016.

I/We, therefore, request the _____/ RTA to endorse to the IEPF Authority for releasing the said dividend amount and these aforesaid _____ shares standing registered in the name of Investor Education And Protection Fund, Singly in the name of _____ / jointly in our names in our demat account bearing DPID _____/ Client ID _____ without production of succession certificate or letters of administration or probate or an order of the court of competent jurisdiction and you have kindly agreed to do so on my/our executing 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 your having at our request agreed to endorse to the IEPF Authority to release the said shares/debentures/bonds into our names and paying to us the dividends already due. I/We hereby jointly and severally agree and undertake to indemnify and keep indemnified, saved, defended, harmless you and your successors and assigns for all time hereafter against all losses, costs, claims, demands, actions, risks, charges, expenses, damages, etc., whatsoever which you may suffer and/or incur by reason of your at my/our request, releasing the said shares/debentures/bonds as hereinabove mentioned, without insisting on production of succession certificate or an order of the court of competent jurisdiction.

In WITNESS WHEREOF THE said legal heirs have here unto set their respective hands and seals this _____ day of _____ of _____

Yours truly,

(Name / Address & Signatures of all legal heirs)

SURETY :

I the undersigned certify that the above facts are true to the best of my knowledge and bind myself as surety make good all losses, costs, claims, demands, actions, risks, charges, expenses, damages, etc., whatsoever which the Company, its successors and assigns may sustain, incur or be liable for in consequence of complying with the request contained

hereinabove of the applicant(s) herein and the Company, its successors and assigns will be entitled to claim and realize all losses, costs, claims, demands, actions, risks, charges, expenses, damage, etc., from me or from my properties, as the case may be.

Signature of Surety : _____

Name of Surety : _____

Address of Surety : _____

Occupation of Surety

LETTER OF AFFIDAVIT

(To be executed on Non-judicial Stamp Paper of Rs. 100/- with notarisation)

To

Date: _____

Board of Directors

(Name and Address of the Company)

SUB : Transmission of shares/debentures/bonds standing in the name of late

Mr./Mrs./Ms. _____

1) _____ /We hereby inform you that Mr/Mrs/Ms. _____ the deceased, was holding _____ Equity Shares/Debentures/Bonds of the market value of Rs. ** _____ each as per details given below :

Folio No.	Certificate No.(s)	No. of Shares/Debentures/Bonds	Distinctive Nos.

Mr/Mrs./Ms. _____ died intestate without leaving a Will on the _____ day of _____ of _____ leaving behind him/her the following as his/her legal heirs :

Name	Age	Relationship with deceased
1		
2		
3		
4		

Contd..2/-

2) The share/debentures/bonds mentioned above were the separate and self acquired property of the deceased under the Hindu Succession Act and the persons named hereinabove are entitled to jointly inherit the aforesaid shares/debentures/bonds.

3) We understand that the said shares have been transferred to IEPF Authority, as the dividend amount had remained unpaid/unclaimed as per section 124 (6) of the Companies Act, 2013 read with the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016.

4) I/We, therefore, request the _____/ RTA to endorse to the IEPF Authority for releasing the said dividend amount and these aforesaid _____ shares standing registered in the name of Investor Education And Protection Fund, Singly in the name of _____ / jointly in our names _____ in our demat account bearing DPID_____ / Client ID _____ without production of succession certificate or letters of administration or probate or an order of the court of competent jurisdiction and you have kindly agreed to do so on my/our executing an indemnity as is herein contained and _____ on relying on the information herein given by us believing the same to be true.

5) That this declaration of mine/ours is true and no portion thereof is false and I/We have not concealed anything material or relevant to the matter herein mentioned. This declaration and affirmation is made knowingly well that on the strength thereof the said Co. _____, have agreed to accept the transmission of shares without providing of any other legal documents.

6) I/We solemnly affirm that the statement contained in the above paragraphs are true to the best of my/our knowledge. Information and belief and the nothing material has been concealed from being disclosed.

I/We solemnly declared and affirmed on Identification at

On this _____ day of _____ 2019.

(Name/Address &

Signatures of all legal heirs)

1.

2.

Before the Executive Magistrate or Notary Public.

Notes:

1) This documents is not valid of the market value of the shares exceeds of Rs.200000/- or more on the date of execution.

2) All the applicants should sign on the Affidavit.

3) Affidavit should be attested by a special executive Magistrate or Notary Public with their seal and office address.



SHAREX DYNAMIC (INDIA) PVT. LTD.

To
Board of Directors
(Name and Address of the Company)

Date: _____

APPLICATION FORM FOR TRANSMISSION/TRANSPPOSITION/NAME DELETION

PLEASE FILL IN SEPARATE FORMS FOR EACH COMPANY SERIES AND EACH CATEGORY OF SHARES/DEBENTURES/BONDS AND ALSO KINDLY READ THE INSTRUCTIONS CAREFULLY

- (A) TYPE OF REQUEST (Tick relevant box)
 TRANSMISSION TRANSPPOSITION NAME DELETION
- (B) NAME OF THE COMPANY _____
- (C) REGD. FOLIO NO.: _____ (The folio is mentioned on the reverse / face of the certificate)
- (D) NAME OF THE HOLDER(S) [As endorsed on certificate(s)]

FULL NAME OF HOLDER(S)	
1.	
2.	
3.	
4.	

- (E) PARTICULARS OF SHARE / DEBENTURE / BOND CERTIFICATE(S) (If space provided is insufficient, then continue on supplement sheet)

CERTIFICATE NO.	DISTINCTIVE NOS	NO. OF SECURITIES

(F) TOTAL NO. OF SHARES / DEBENTURES / BONDS:

- (G) TO BE TRANSMITTED / TRANPOSED IN FAVOUR OF

TITLE	FIRST NAME	MIDDLE NAME	SURNAME	AGE	OCCUPATION	PAN
1						
2						
3						
4						

Note: Mandatory to attach self attested copies of PAN Card(s) of all Holder(s)/Claimant(s) under item (G)

(H) Full Address of the Holder/Claimant under item (G)(1) _____ _____ _____ _____ PIN CODE _____	SIGNATURE(s) 1. _____ 4. _____ 2. _____ 3. _____
---	--

PLEASE FILL IN THE COMPLETE ADDRESS OF THE HOLDER/CLAIMANT INCLUDING PINCODE FOR SAFE DELIVERY



SHAREX DYNAMIC (INDIA) PVT. LTD.

(I) TICK THE TYPE OF DOCUMENTS SUBMITTED :

Sr. No.	Type of Document to be duly attested by Competent authority (in case of Xerox)	Mark here
1	Death Certificate	<input type="checkbox"/>
2	Succession Certificate	<input type="checkbox"/>
3	Probate of will	<input type="checkbox"/>
4	Letter of Administration	<input type="checkbox"/>
5	Marriage Certificate	<input type="checkbox"/>
6	Original Share/Debenture/Bond Certificate	<input type="checkbox"/>
7	Copy of PAN card, self certified	<input type="checkbox"/>
8	Any other, viz	<input type="checkbox"/>

(J) SPECIMEN SIGNATURE(S)

1)	_____
2)	_____
3)	_____
4)	_____

FOR OFFICE USE ONLY

1)	DOCUMENT REGISTRATION / TRANSFER NO	:	_____
2)	DATE OF REGISTRATION / BOARD APPROVAL	:	_____
3)	BUYER'S FOLIO	:	_____
4)	DELIVERY TYPE (Tick relevant box)	:	<input type="checkbox"/> COUNTER <input type="checkbox"/> POSTAL

1)	INWARDED	:	_____
2)	VERIFIED	:	_____
3)	SCRUTINY	:	_____
4)	DATA ENTRY	:	_____
5)	MASTER UPDATION	:	_____

