

Registered Office: 809, New Delhi House, Barakhamba Road, Connaught Place, New Delhi, 110001
 Correspondence Office: Upstox Securities Private Limited, 30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar West, Mumbai, Maharashtra, India, 400013
 Telephone: +91-22-6130-9999 | Fax: +91-22-6710-7492 | Email: support@upstox.com

TRANSMISSION REQUEST FORM
 (IN CASE OF DEATH OF THE SOLE HOLDER)

| | | | | | | | | | | |
|-----------------|--|-------------------|--|--|--|--|--|--|--|--|
| Application No. | | Date (dd/mm/yyyy) | | | | | | | | |
|-----------------|--|-------------------|--|--|--|--|--|--|--|--|

(Please fill all the details in **Block Letters** in English)

Dear Sir / Madam,

PART – I : (where nomination is recorded)

I, Nominee / Successor/ Guardian of the successor or nominee (in case of Minor) request you to transmit the following securities due to the death of the sole account holder. Original Death Certificate / copy of Death Certificate (duly notarized / attested under seal by a Gazetted Officer) is attached herewith.

| | | | | | | | | | | | | | | | | | | | | |
|-----------------------------------|---|---|---|---|---|---|---|-----------|--|--|--|--|--|--|--|--|--|--|--|--|
| Name of the deceased BO | | | | | | | | | | | | | | | | | | | | |
| Account Number of the deceased BO | | | | | | | | | | | | | | | | | | | | |
| DP ID | 1 | 2 | 0 | 8 | 1 | 8 | 0 | Client ID | | | | | | | | | | | | |

Kindly transmit all securities in the deceased BO’s account mentioned above to the BO account mentioned below.

| | | | | | | | | | | | | | | | | | | | | |
|-----------------------------|--|--|--|--|--|--|--|-----------|--|--|--|--|--|--|--|--|--|--|--|--|
| Successor BO Account Number | | | | | | | | | | | | | | | | | | | | |
| DP ID | | | | | | | | Client ID | | | | | | | | | | | | |
| Name | | | | | | | | | | | | | | | | | | | | |

Details of Transmission

| Sr. No. | Name of the Security | ISIN | Quantity of securities to be transmitted |
|---------|----------------------|------|------------------------------------------|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |

Attach an annexure duly signed by the Nominee / Successor / Guardian of the successor or nominee (in case of Minor), if the space above is insufficient.

| | First / Sole Holder | Second Holder | Third Holder |
|-----------|---------------------|---------------|--------------|
| Name | | | |
| Signature | | | |

(Nominees / Successor / Guardian of successor or nominee (in case of Minor))

PART – II : (where nomination is not recorded)

No Objection Statement from other heirs/successors who are non-applicants

1. I/We, the undersigned, residing at _____, am/are legal heir(s) of the said deceased.
2. I/We do not desire to make any claim of title of the said securities and have no objection whatsoever in transmitting the said securities in the name(s) of Mr. / Mrs. _____ who has/have opened a beneficial owner account(s) under Client ID _____ and DP ID _____.
3. In consideration of registration of the aforesaid securities in the client account of Mrs. / Mrs. _____ under DP ID _____ Client ID _____ at my request, I/We hereby renounce all my/our rights existing as well as those that may accrue to me/us in future in respect of the aforesaid securities.

Signed in the presence of:

(Bank Manager)

(Signature of the legal heir)

| | |
|-------------------------------|--|
| Full Name of the Bank Manager | |
| Address of the Bank Manager | |

Note for all legal heirs/successors who are applicants / non-applicants:

Only one Transmission Request Form is to be submitted by claimants/non-claimants to the DP of the deceased BO for the transmission of securities wherein the intentions of the legal heirs/successors are collectively stipulated.

..... (Please Tear Here) _____

Acknowledgement Receipt

| | | | | | | | | | | | | | | | | | | | | |
|-----------------|--|-------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Application No. | | Date (dd/mm/yyyy) | | | | | | | | | | | | | | | | | | |
|-----------------|--|-------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

We hereby acknowledge receipt of the instructions for transmission of securities from the deceased BO's account to the account of the Nominee / Successor / Guardian of the successor or nominee (in case of Minor), as per details given on the transmission form.

Account number of the deceased BO:

| | | | | | | | | | | | | | | | | | | | | |
|-------|---|---|---|---|---|---|---|--|-----------|--|--|--|--|--|--|--|--|--|--|--|
| DP ID | 1 | 2 | 0 | 8 | 1 | 8 | 0 | | Client ID | | | | | | | | | | | |
|-------|---|---|---|---|---|---|---|--|-----------|--|--|--|--|--|--|--|--|--|--|--|

| | | | | | | | | | | | | | | | | | | | | |
|-----------------------------|--|--|--|--|--|--|----------------------|--|--|--|--|--|--|---------------------|--|--|--|--|--|--|
| Successor BO Name(s) | | | | | | | | | | | | | | | | | | | | |
| First / Sole Holder | | | | | | | Second Holder | | | | | | | Third Holder | | | | | | |
| | | | | | | | | | | | | | | | | | | | | |

Documents submitted -

Subject to verification