

PROCEDURE FOR DUPLICATE CUM TRANSMISSION

In case of transmission, the nominee/legal heir/successor do not have the original share certificate in their possession, they can apply for Duplicate cum Transmission. The procedure is as follows:

1. Application letter for issue of duplicate share certificate cum transmission of shares in favour of the legal heir(s).
2. FIR copy in respect of lost/misplaced share certificate.
3. Newspaper advertisement.
4. Death Certificate of the deceased shareholder(s) or a Copy duly attested by Gazetted Officer or Notary Public; If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public.
5. Self-attested/notarised proof of Identification and address of applicant as per following:
 - a) PAN Card
 - b) Any one of Ration Card, Aadhaar Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);
6. Affidavit from legal heir/s who are claiming the shares (Applicant/s) on Rs 100/- non-judicial stamp paper as per the format appended below;
7. Signature Verification Form verifying and attesting the signature of the applicant from the Bank;
8. Affidavit cum No objection Certificate (NOCs) from all other legal heirs who are not claiming the shares on non-judicial stamp paper of Rs 100/- as per format appended below or a copy of Family Settlement Deed duly notarized in case of absence of Succession certificate or Letter of Administration or Probate of Will or Will or Court Decree;
9. Court certified copy of Succession Certificate or Letter of Administration or Probate of Will or Will or Court Decree. Succession Certificate or Letter of Administration or Probate of Will or Will or Court Decree in terms of Indian Succession Act, 1925, wherever applicable, is compulsorily required to be submitted if the market value of shares is more than 2,00,000/-;
10. An Indemnity bond is required to be furnished along with surety as per format enclosed. Two sureties are required;
11. Self-attested/notarised proof of Identification and address of surety as per following:
 - a) PAN Card
 - b) Any one of Ration Card, Aadhaar Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);
12. In case of a Will, Probate of Will being submitted, an additional Indemnity bond for Will is required to be furnished on non-judicial stamp paper of Rs 500/- as per the format appended below.

Important Points to be noted:

- a) There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
- b) If the applicant is/are illiterate, his/her/their thumb impression must be attested by a Magistrate or Notary Public under the seal of their respective office or Bank Manager.
- c) The Applicants should fill the form in the order in which their names should appear in the certificate.

- d) Affidavit and Affidavit cum NOC should be in the format appended below, duly attested by the S.E.M or Oaths Commissioner or Notary Public.
- e) Indemnity Bond and Surety should be duly attested/notarised by Notary Public.
- f) Proof of identification and Signature verification form should be provided for each applicant.
- g) A passport size photograph of applicant duly signed by him/her on the reverse side.
- h) Copy of attested/notarized PAN Card as proof of identification and any two of the following as proof of address, duly attested/notarized– Ration Card, Election Card, Driving Licence, Passport, Electricity Bill, Telephone Bill, etc. (Utility Bills not older than 3 months);
- i) No Xerox copies of the documents as mentioned above would be accepted.

APPLICATION FOR ISSUE OF DUPLICATE SHARE CERTIFICATE CUM TRANSMISSION OF SHARES

(Please fill this application carefully after reading the notes mentioned below the application so that rejection of the application can be avoided)

To,

The Company Secretary,
Kirloskar Brothers Limited,
Udyog Bhavan, Tilak Road,
Pune – 411 002.

Dear Sir,

I/We, (name of the applicant), residing at (address of each applicant) am/are applying for issue of duplicate share certificate cum transmission of the shares of (name of the deceased shareholder). (The name of the deceased) expired on (date of expiry) at (place of death). The deceased was holding ___ shares of the following description

<u>Folio No./ DP Id</u> <u>Client ID</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered</u> <u>in _____ each</u> <u>certificate</u>	<u>Face Value</u>
				2/- each

I/We am/are the (Nominee / Legal heirs / Executor of the Will of the deceased/ Administrators of the Estate of the deceased / Successors to the Estate of the deceased shareholder). The following are particulars of the Applicant(s):

<u>Sr. No.</u>	<u>Name & Address</u> <u>of the Applicant(s)</u>	<u>Age</u>	<u>Relation with the deceased</u> <u>shareholder</u>
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- 1.
- 2.
- 3.

*The Hon'ble Court has granted me/us Probate of the Will / Letter of Administration / Succession Certificate/ Court Decree/ in terms of Indian Succession Act, 1925, as may be applicable, on the (date of the order) and I/we are furnishing indemnity bond and affidavit for issue of duplicate share certificate in lieu of original share certificate.

Or

The deceased shareholder(s) has bequeathed the shares of Kirloskar Brothers Limited in my/our favour by executing a Will and I/we are furnishing indemnity bond and affidavit for issue of duplicate share certificate in lieu of original share certificate.

OR

In the absence of probate of the will / letter of administration / succession certificate/ Court Decree/ will, in terms of Indian Succession Act, 1925, as may be applicable, I/we are furnishing indemnity bond and affidavit thereof for issue of duplicate share certificate in lieu of original share certificate cum transmission of shares.

*:- Not applicable in case of Nominee

My/Our specimen signature(s) is/are as below:

[Signature of the Applicant(s)]

I/We hereby submit the following documents to support my/our claim for issue of duplicate share certificate in lieu of original share certificate cum transmission of the shares held by the deceased:

1. FIR copy in respect of lost/misplaced share certificate.
2. Newspaper Advertisement.
3. Death certificate of the deceased in original.
or
Duly attested/notarized copy/translated copy of the Death Certificate of the deceased.
4. Court certified copy of Succession Certificate or probate of will or letter of administration or court decree or copy of will in terms of Indian Succession Act, 1925, wherever applicable.
5. Indemnity Bond duly attested/notarised on Non-Judicial Stamp Paper (NJS) of Rs.500/-.
6. Affidavit from legal heirs who are claiming the shares on NJS of Rs.100/- duly affirmed by S.E.M/ Notary Public/ Oaths Commissioner.
7. Affidavit cum No Objection Certificate from all the other legal heirs who are not claiming the shares on NJS of Rs. 100/- attested by S.E.M./Notary/Oaths Commissioner or a copy of Family Settlement Deed duly notarized in case of absence of Succession certificate or Letter of Administration or Probate of Will or Will or Court Decree.
8. Proof of my/our identification and address duly attested/notarised.
9. Verification and Attestation of my/our signature from Bank.
10. My/Our passport size photograph with my/our signature on the reverse.
11. Indemnity Bond for Will duly attested/notarized on Non-Judicial Stamp Paper (NJS) of Rs.500/-, if applicable.

I/We hereby request you to issue duplicate share certificate in lieu of original share certificate cum transmit the shares covered under Folio No. _____ standing in the name of the deceased in my/our name and enter my/our name(s) in the Register of Members of the Company.

Date:

Signature of the Applicant(s)

1.

2.

3.

Name and address of the witness

Signature of the witness

1.

1.

2.

2.

NOTES:

1. The Application should be typed.
2. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
3. Please fill up the details as per the documents you are annexing. Please do not just type this format as it is.
4. If the applicant is/are illiterate, his/her/their thumb impression must be attested by a Magistrate or Notary Public under the seal of their respective office or Bank Manager.
5. The Applicants should fill this form in the order in which their names should appear in the certificate.
6. The Death Certificate of the deceased shareholder, if not annexed in original should be duly attested either by Notary Public or Gazetted Officer. If the death certificate is in any other language other than English, a translated copy duly attested by Gazetted Officer or Notary Public to be annexed.
7. Affidavit and Affidavit cum NOC should be in the format appended below, duly affirmed by the S.E.M or Oaths Commissioner or Notary Public.
8. Proof of identification and Signature verification form should be provided for each applicant.
9. Please furnish a passport size photograph of the applicant(s) duly signed by the applicant(s) on the reverse and attested/notarised copy of PAN Card as proof of identification and any two of the following as proof of address, duly attested/notarized– Ration Card, Election Card, , Driving Licence, Passport, Electricity Bill, Telephone Bill, etc.(Utility Bills not older than 3 months);.
10. Please furnish Signature verification form verifying and attesting your signature from Bank.
11. Please do not furnish mere Xerox copies of the documents requested.
12. Please annex all the documents required along with this application itself to avoid delay in completion of duplicate cum transmission process.

FORMAT OF ADVERTISEMENT FOR LOSS OF SHARE CERTIFICATE

KIRLOSKAR BROTHERS LIMITED

Regd. & Head Office: Udyog Bhavan , Tilak Road, Pune - 411002

NOTICE

Notice is hereby given that the Share Certificate/s Nos : _____
For _____ fully paid up Equity Shares of Rs. 2/- each of this company bearing
Distinctive Nos. _____

Respectively standing in the name/s of _____

has/have been reported to be lost or mislaid. Any claim relating to this/these share certificate/s should be notified within Fifteen days from the date of publication of this NOTICE to the Registered Office of the Company. Otherwise duplicate share Certificate/s in respect of lost share certificate/s will be issued to the above-mentioned Owner/s and no claim will be entertained thereafter.

FOR KIRLOSKAR BROTHERS LIMITED

Sd/-

Pune :

Sandeep Phadnis

Date:

(Company Secretary)

FORMAT OF INDEMNITY BOND FOR ISSUE OF DUPLICATE SHARE CERTIFICATE CUM TRANSMISSION OF SHARES

(Please type this indemnity bond after carefully reading the notes mentioned below the format)

To,

The Company Secretary,
Kirloskar Brothers Limited,
Udyog Bhavan, Tilak Road,
Pune – 411 002.

WHEREAS

(Number of shares) Equity shares _____ of Kirloskar Brothers Limited having its registered office at Udyog Bhavan, Tilak Road, Pune- 411 002 are standing in the name of Late Shri./Smt. (name of the deceased shareholder) in the Register of Members of Kirloskar Brothers Limited of the following description

<u>Folio No.</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u>	<u>Face</u>
<u>Value</u>			<u>each certificate</u>	

2/-

WHEREAS:

Shri./Smt. (name of the deceased shareholder) expired on (date of death) at _____ (place of death) leaving behind him/her the following heirs :

<u>Sr. No.</u>	<u>Name & Address</u>	<u>Age</u>	<u>Relation</u>	<u>with</u>	<u>the</u>	<u>deceased</u>
	<u>Of the legal heir(s)</u>					

1.

2.

3.

AND WHEREAS :

The share certificate(s) No(s). _____ in respect of the above shares has/have been lost or misplaced and is/are not traceable. I/We have searched the said certificate(s) but despite my /our best efforts, I/We have been unable to find it/them. I/We declare that the said share certificate(s) was/were not accompanied by any blank transfer deed signed by me/us and that I/We have not, nor has any person by the deceased shareholder disposed off, parted with or pledged / deposited / mortgaged by way of security the said share certificate(s) or assigned my/our interest therein or any part have neither been sold or transferred to anybody by the deceased shareholder and I/We am/are entitled to the custody of the certificate(s) of title relating

to such shares as I/We am/are the absolute claimant of the same as registered shareholder(s). I/We undertake to surrender the said share certificate(s) to the company if and when the same is/are found at a later date.

The abovementioned shares were the separate and self-acquired property of the deceased. According to the law of Intestate Succession applicable to him/her by which he/she was governed at the time of his/her death, the person(s) mentioned hereinabove is/are the only heir(s) of the deceased. He/She/They is/are entitled to inherit solely/jointly the aforesaid shares covered under Folio No. _____ held by the deceased.

NOW THEREFORE:

I/We, (name of the applicant(s) aged __ years, residing at (address of the applicant/s) approach the Company to issue duplicate share certificate in lieu of original share certificate and transmit the shares covered under Folio No. _____ and bearing Certificate No(s). _____ held by the deceased in my/our behalf and enter my/our name(s) in the Register of Members of the Company without production of Probate of Will or Letter of Administration or Succession Certificate or Will or Court Decree in terms of Indian Succession Act, 1925, as may be applicable, from the Court of competent jurisdiction. In consideration of the Company having agreed to issue duplicate share certificate in lieu of original share certificate and transmit and register the aforesaid shares in my/our name on my/our executing a bond in favour of the Company.

Upon issue of duplicate share certificate in lieu of original share certificate and transmission of shares in my/our favour, I/we.....also request Company to arrange for payment of the unclaimed dividend, if any, for last 7 years covered under folio.....based on this indemnity bond and other related documents.

Upon the Company issuing duplicate share certificate in lieu of original share certificate and transmitting and registering the shares held by the deceased, and for making of payment of aforesaid unclaimed dividend, if any, for last 7 years, I/Wethe undersigned applicant(s) hereunder for myself/ourselves, my/our heirs, executors, administrators and assigns do hereby jointly and severally covenant with the Company, its successors and assigns and agree and undertake at all times save, defend and to indemnify and keep indemnified the Company, its successors and assigns its estate and effects, and its directors, manager, secretary and shareholders and their heirs, executors and assigns from and against all actions, suits, proceedings, accounts, claims and demands whatsoever for or on account of the said shares or dividends or any part thereof or otherwise in connection with the same, and from and against all losses, costs, claims, actions, demands, risks, charges, expenses, damages and losses arising in any manner howsoever.

IN WITNESS WHEREOF I/We, the applicant(s) herein has/have signed and set my/our hands on this ____ day of _____ 20__.

Name and address of the Applicant(s)

Signature of the Applicant(s)

1.

1.

2.

3.

Name and address of Witness

1.

2.

Place ;

Date :

2.

3.

Signature of the Witness

1.

2.

SURETY

We, (name of the surety No.1) aged ___ years, residing at (residential address of Surety No.1) and having business address at (official address of Surety No.1), having PAN No. _____

and

(name of the surety No.2) aged ___ years, residing at (residential address of Surety No.2) and having business address at (official address of Surety No.2), having PAN No. _____, the undersigned, certify that the information mentioned by Mr./ Mrs. _____ under his/ her / their indemnity in relation to the application for issue of duplicate share certificate in lieu of original share certificate and transmission of shares of the Company are true to the best of our knowledge. We bind ourselves sureties to make good all claims, charges, costs, damages, demands, expenses and losses which the Company, its successors and assigns its estate and effects and its directors, manager, secretary and shareholders may sustain, incur or be liable for in consequence of complying with the request contained in the said application and the Company, its successors, assigns, directors, manager, secretary and shareholders will be entitled to realise all claims, charges, costs, damages, demands, expenses and losses from our persons and our properties, as the case may be.

Place :

Date:

Name and Address of the Witness	Signature of the Witness
1.	1.
2.	2.

Name and Address of the Surety	Signature of the Surety
1.	1.
2.	2.

NOTES:

1. Indemnity Bond duly attested/notarised should be on Non-judicial stamp paper of Rs.500/-.
2. Please fill up the details as per the documents you are annexing. Please do not just type this format as it is.
3. It should be executed by the person who is applying for issue of duplicate share certificate cum transmission.
4. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
5. Indemnity Bond should be witnessed by two persons.
6. Two sureties are required to be furnished, who are not family members of the Applicant.
7. Witness and Surety have to be different individuals.
8. Each Surety and Witness has to attach attested/notarised copy of PAN Card as proof of identification and any two of the following as proof of address, duly attested/notarized– Ration Card, Election Card, , Driving Licence, Passport, Electricity Bill, Telephone Bill, etc.(Utility Bills not older than 3 months).
9. Date of execution should be mention on the Indemnity Bond.

FORMAT OF AFFIDAVIT FOR ISSUE OF DUPLICATE SHARE CERTIFICATE CUM TRANSMISSION OF SHARES WITH/WITHOUT PRODUCING PROBATE OF WILL / SUCCESSION CERTIFICATE / LETTER OF ADMINISTRATION / WILL / COURT DECREE

(Please type this Affidavit after carefully reading the notes mentioned below the format)

AFFIDAVIT

I/We, _____ son/daughter/spouse/legal heir(s) of _____ aged __, residing at _____, do hereby solemnly affirm and declare as under:

1. That Shri/Smt. (Name of the deceased shareholder), the deceased, was holding _____ equity shares in Kirloskar Brothers Limited the details of which are mentioned below.

<u>Folio No.</u>	<u>Certificate Nos.</u>	<u>Distinctive Nos.</u>	<u>Shares covered in</u>	<u>Face</u>
<u>Value</u>			<u>Each certificate</u>	
				2/-

2. Shri. /Smt. (name of the deceased shareholder) expired on (date of death) at (place of death)

leaving behind him/her **all the following legal heirs:**

<u>Sr. No.</u>	<u>Name of all legal heir</u>	<u>Age</u>	<u>Relation with the deceased shareholder</u>
1.			
2.			
3.			

3. The abovementioned shares were the separate and self-acquired property of the deceased. The person(s) mentioned hereinabove is/are the only heir(s) of the deceased. They are entitled to inherit solely/jointly the aforesaid shares held by the deceased.

1. That Late Shri/Smt. (name of the deceased shareholder) has no other heir/s than those mentioned in paragraph 2 above and the person(s) mentioned therein is/are only his/her legal heir(s).
2. That the share certificate No(s). _____ of the said shares has/ have been lost or misplaced and is not in my/our possession.

3. I/We have searched for the said certificate(s), but even after careful and diligent search, I /We have been unable to find out or trace the same.
4. Since the said certificate(s) was / were issued, deceased shareholder(s) have not sold, transferred, mortgaged, pledged or otherwise encumbered or disposed of the said shares or parted with the possession of the said certificates in any manner and the said shares is / are my/ our absolute property. The best of my/ our knowledge and belief, the said certificates has/ have either been lost or been accidentally destroyed. In case at any time I / We find the said Share Certificate(s) or any of them I /We shall immediately handover the same to the Company.
5. I/ we have already executed indemnity bond for issue of duplicate share certificate in lieu of original share certificate and transmitting the aforesaid shares held by the deceased in my /our name.
6. I/we therefore request the Kirloskar Brothers Limited to issue duplicate share certificate in lieu of original share certificate and transmit the shares in my/our name in the books of the Company with/ without production of succession certificate/probate of the will/ letter of administration/ will/ court decree and to arrange for payment of the unclaimed dividend, if any, for last 7 years covered under folio.....

I/we am/are executing this declaration to be submitted to the concerned authorities of the Company.

VERIFICATION

I /we hereby state that whatever is stated herein above is true to the best of my/our knowledge.

Solemnly affirmed at _____ On this ____ day of _____ 20__.

(Signature of the Applicant/s)

Deponent/s

Identified by me

Before Me

Advocate

S.E.M./Oaths Commissioner/Notary

NOTES:

1. **THIS AFFIDAVIT IS TO BE EXECUTED BY ONLY THOSE LEGAL HEIR(S) WHO ARE CLAIMING THE SHARES.**
2. Affidavit should be on Non-judicial stamp paper of Rs.100/- duly attested by S.E.M/ Notary Public/ Oaths Commissioner.
3. Please fill up the details as per the documents you are annexing. Please do not just type/print this format as it is.
4. There is no limit on maximum number of legal heirs in whose name shares can be transmitted however, shares can be held jointly by maximum three persons (legal heirs).
5. Date of execution should be mentioned on Affidavit.

FORMAT OF AFFIDAVIT CUM NO OBJECTION CERTIFICATE FROM OTHER - LEGAL HEIR(S) FOR TRANSMISSION OF SHARES IN THE NAME OF THE APPLICANT/S WHERE THERE IS NO PROBATE OF WILL / SUCCESSION CERTIFICATE / LETTER OF ADMINISTRATION / WILL / COURT DECREE.

(This Declaration is to be executed on Non- Judicial Stamp Paper of Rs.100/- and should be duly attested either by S.E.M. or Oaths Commissioner or Notary.

AFFIDAVIT CUM NO OBJECTION CERTIFICATE

I/we, below named is/are son/daughter/spouse/legal heir(s) of _____(name of deceased shareholder).

Sr.No.	Name of Legal Heir(s)	Age	Residential address	Relationship with deceased shareholder

do hereby solemnly affirm and declare as under:

1. That _____, the deceased, was holding ____ shares in Kirloskar Brothers Limited covered under Folio No. _____ and Share Certificate No(s). _____, bearing Distinctive Nos. _____ to _____ of the face value of Rs. 2/- each.
2. Shri./Smt. (name of the deceased shareholder) expired on (date of death) at (place of death) leaving behind him/her **all the following legal heirs:**

Sr. No.	Name of all the legal heir(s)	Age	Relation	with	the	deceased
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shareholder

- 1.
- 2.
- 3.

3. The person(s) mentioned hereinabove is/are the only heir(s) of the deceased. They are entitled to inherit solely/jointly the aforesaid shares held by the deceased.
4. I/we am/are entitled to inherit solely/jointly the aforesaid shares covered under Folio No. _____ held by the deceased.
5. I/we do not desire to make any claim of title of the said securities held by the deceased. I/we hereby agree to renounce all my/our rights existing as well as they may accrue to me/us in future in respect of the aforesaid securities.
6. I/we declare that I/we have no objection whatsoever in transmitting the said securities in the name of the applicant(s), _____ and thereafter making payment in his/her favour, unclaimed dividend, if any, covered under folio.....for last 7 years based on the related documents submitted for transmission of shares.

I /we am/are executing this declaration to be submitted to the concerned authorities of the Company.

VERIFICATION

I /we hereby state that whatever is stated herein above are true to the best of my/our knowledge.

Solemnly affirmed at _____ On this ____ day of _____ 20__

(Name and Signature of the Legal heir/s)

- 1.
- 2.
- 3.

Deponent/s

Identified by me
Advocate
Commissioner/Notary

Before Me
S.E.M./Oaths

NOTES:

1. This Affidavit cum NOC is to be executed by all the Legal heir(s) who are not claiming the shares.
2. Affidavit should be on Non-judicial stamp paper of Rs. 100/- duly attested by S.E.M/Notary Public/Oaths Commissioner.
3. Please fill up the details as per the documents you are annexing. Please don't just type this format as it is.
4. Date of execution should be mentioned on Affidavit.