

## TRANSMISSION REQUEST FORM

(In case of death of the sole holder)

Application No.		Date	D	M	M	Y	Y	Y	Y
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(Please fill all the details in **Block Letters** in English)

To,  
**Asit C. Mehta Investment Intermmediates Limited,**  
 Pantomath Nucleus House,  
 Saki Vihar Road, Andheri (E),  
 Mumbai - 400072,  
 Maharashtra

Dear Sir / Madam,

I/we undersigned, being the Nominee(s) / Successor/ Guardian of the successor or nominee(s),  
 DOB \_\_\_\_\_ (Date of Birth of the minor - in case the claimant is a Minor \*) Relationship with the 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. (**\*Please attach relevant proof**)

Name of the deceased BO: \_\_\_\_\_

Account Number of the deceased BO:

DP ID		Client ID	
Date of death of the Deceased Sole Holder			

Kindly transmit all securities in the deceased BO's account mentioned above to the BO account mentioned below.  
 Details of the Successor (s)

Sr. No	Name of the Successor (s)/Nominee / Legal Heir/Successor to the Estate of the deceased / Administrator of the Estate of the deceased	DP ID	Client ID

Details of Transmission				
Sr. No	Name of the Security	ISIN	Quantity of securities to be transmitted	Percentage

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

I/We declare that all transactions in the account are authentic.

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

	<b>Nominee(1) Successor/Guardian successor/Nominee</b>	<b>of</b>	<b>Nominee(2) Successor/Guardian successor/Nominee</b>	<b>of</b>	<b>Nominee(3) Successor/Guardian successor/Nominee</b>	<b>of</b>
Name						
Signature						

======(Please tear here)=====

**Acknowledgement Receipt**

**Application No.**

**Date: -**

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

Account number of the deceased BO

DP ID															Client ID										
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<b>Successor BO Name(s)</b>		
<b>First/Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
Documents Submitted		

**Subject to verification.**

**Depository Participants Seal & Signature**

**Note To be executed in the presence of a Public Notary / Gazetted Officer**

**Bond of Indemnity to be furnished jointly by all Legal Heir(s) including the claimant(s)  
(To be submitted on Non-judicial Stamp Paper of appropriate value)**

[For Transmission of Securities on death of Sole Securities' Holder, where no nomination has been registered)

**Bond of Indemnity**

To,  
**Asit C. Mehta Investment Intermediates Limited,**  
Pantomath Nucleus House,  
Saki Vihar Road, Andheri (E),  
Mumbai - 400072,  
Maharashtra

Dear Sirs,

**Sub: Transmission of securities standing in the name of Late Mr./Mrs.\_\_\_\_\_**

**I/We do hereby solemnly affirm and state on oath as follows:**

Mr./Mrs.\_\_\_\_\_the deceased, was holding a Client account no.\_\_\_\_with  
\_\_\_\_\_a Depository Participant having DP ID\_\_\_\_\_. The  
said deceased BO was holding the following securities:

ISIN	Name of Company	Number of securities

That the aforesaid deceased holder died intestate on\_\_\_\_\_, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of intestate succession applicable to him/her by which he/she was governed at the time of his/her death.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			
2			
3			
4			

OR

That the aforesaid deceased holder died on\_\_\_\_\_without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of testamentary succession.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			
2			
3			
4			

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein has/have , approached you with a request to transfer the aforesaid securities in the name of the undersigned Mr. / Mrs. /Ms.\_\_\_\_on my/our behalf without insisting on the production of a Succession Certificate/ Probate of Will / Letter of Administration or an Order of the Court of competent jurisdiction and you have kindly agreed to do so on my/our executing an indemnity asis herein contained and on relying on the information herein given by us believing the same to be true.

In consideration therefore of my/our request to transfer/transmit the above said securities to the name of the undersigned Mr. /Ms. [Name(s) of the legal heir(s)/claimant(s) ] #, \_\_\_\_\_ without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court order.

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, actions, demands, risks, charges, expenses, damages, etc., whatsoever which you may suffer and/or incur by reason of your, at my/our request, transferring the said securities as herein above mentioned, to the undersigned \_\_\_\_\_ without insisting on production of a Succession Certificate/ Probate of Will / Letter of Administration or an Order of the Court of competent jurisdiction.

IN WITNESS WHEREOF THE said I Mr. /Ms \_\_\_\_\_ (Name and signature of the And 2) Mr. /Ms. \_\_\_\_\_ Name and signature of the witness #, have here unto set their respective hands and seals this \_\_\_\_\_ day of \_\_\_\_\_ of \_\_\_\_\_. Signed and delivered by the said legal heir/s.

Sr.No	Name the Legal Heirs	Signature of the Legal Heirs
1.		
2.		
3.		

Name of the deceased security holder

(#) Name of the claimant/s

**Signed before me**

Date: \_\_\_\_\_

Place: \_\_\_\_\_

\_\_\_\_\_  
(Signature and Seal of Magistrate/Notary)

**Full Name and Address of Magistrate /Notary:**

Name : \_\_\_\_\_

Address : \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

PIN \_\_\_\_\_

Registration No : \_\_\_\_\_

Use space below to affix:

<p><b>Notarial / Court Fee Stamp</b></p>	<p><b><u>Official Seal of Magistrate / Notary</u></b></p>
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## Affidavit

**Individual Affidavits to be given by ALL the Legal Heirs OR Legal Heirs named in Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of Administration\*/ Legal Heirship Certificate\*(or its equivalent certificate)\*/Court Decree\***

**(For Transmission of securities on death of Sole Holder where NO NOMINATION has been registered)**

**Each Deponent (legal heir) shall sign separate Affidavits.**

I, \_\_\_\_\_ son/daughter/spouse of \_\_\_\_\_  
\_\_\_\_\_ residing at \_\_\_\_\_

do hereby solemnly affirm and state on oath as under: -

That Mr. / Mrs. \_\_\_\_\_ @  
the deceased was holding a Client Account No. \_\_\_\_\_ with \_\_\_\_\_  
\_\_\_\_\_ a Depository Participant having DP ID \_\_\_\_\_  
\_\_\_\_\_. The said deceased was holding the following securities:

ISIN	Name of Company	No. of securities

- That the aforesaid deceased holder died intestate leaving behind him/her, the following persons as the only surviving heirs as per the Succession Certificate/ Legal Heirship Certificate (or its equivalent certificate) / Court Decree dated \_\_\_\_\_ / according to the Law of Intestate Succession by which he/she was governed at the time of his/her death and without registering any nominee. \*

OR

- That the aforesaid deceased holder died leaving behind the following persons as the legatees as per the Will/ Probated Will/ Letter of Administration dated \_\_\_\_\_ and without registering any nominee. \*

A copy of the Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of Administration\*/ Legal Heirship Certificate\*(or its equivalent certificate)\*/ Court Decree\* is attached herewith

	Name of the Legal Heir(s)	Address and contact details	Age	Relationship with the deceased
1				
2				
3				
4				

1. That among the aforesaid legal heirs Master / Kumari # \_\_\_\_\_ aged \_\_\_\_\_ years is a minor and he / she is being represented by his / her father/mother/ legal guardian Mr. / Mrs. \_\_\_\_\_.
2. That all the legal heirs of my deceased \_\_\_\_\_ have applied to \_\_\_\_\_ (DP name) to register the aforesaid securities in my/our individual/joint beneficial owner account and have executed a Letter of Indemnity in favour of the Participant/CDSL holding the Participant / CDSL indemnified against any loss, cost, expenses or damages which may be caused to them in consequence of any claim which may be made by or on behalf of any person claiming any interest in the said shares.

\_\_\_\_\_  
Signature of DEPONENT

### **VERIFICATION**

I hereby solemnly affirm and state that what is stated herein above is true and correct and nothing has been concealed therein and that I am competent to contract and entitled to rights and benefits of the above mentioned securities of the deceased.

Solemnly affirmed at \_\_\_\_\_ on the \_\_\_\_\_ day of \_\_\_\_\_ of \_\_\_\_\_

Signature of the Deponent

**Signed before me**

**Full Name and Address of Magistrate / Notary**

Signed in the presence of

Name : \_\_\_\_\_

Address : \_\_\_\_\_

City \_\_\_\_\_ Pin \_\_\_\_\_

Registration No: \_\_\_\_\_

(Signature of Notary with Official Seal of Notary )

\* ~~strikeout whichever is not applicable~~

# = Name of the legal heir @ = Name of the deceased security holder

\$ = Name of the Guardian

Use space below to affix:

<b>Notarial Stamps</b>	<b>Official Seal of Notary</b>
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# NO Objection Certificate

**Note: To be executed in the presence of a Public Notary / Gazetted Officer**

[To be submitted in non-judicial stamp paper of appropriate value] No-Objection Certificate from the Legal Heir(s)

Format of NOC from other Legal Heir(s) for Transmission of Securities in favour of the Claimant(s) wherein the Sole Holder is deceased and NO NOMINATION has been registered

## DECLARATION

I/We, the legal heir(s) of late Mr. / Ms \_\_\_\_\_ (name of the deceased holder) declare as follows –

(i) That the above named deceased holder was holding the following securities in his / her name as single holder Account No. \_\_\_\_\_ with \_\_\_\_\_ a Depository Participant having DP ID \_\_\_\_\_.

Name of the Company	ISIN	No. of securities held
1)		
2)		
3)		

(ii) That the deceased had died intestate on DD / MM / YYYY and without registering any nominee.

(iii) That the following Claimant(s) has/have applied for the transmission of the aforesaid securities:

Name of the Claimant(s)	Address & contact details	Age	Relationship with the deceased
1)			
2)			
3)			

(iv) That I / We are the legal heir(s) of the deceased holder, apart from the Claimant(s) who has/ have applied for transmission of the aforesaid securities and our details are as follows:

Name of the Legal Heir(s)	Address and contact details	Age	Relationship with the deceased
1)			
2)			
3)			

(v) I / we hereby declare that, I / we do not desire to make any claim in respect of the title to the aforesaid securities held by the deceased and I / we hereby wilfully relinquish & renounce all my / our rights in respect of the aforesaid securities and shall have no legal claim upon said securities in future.

(vi) Accordingly, I / we declare that I / we have NO OBJECTION WHATSOEVER in (Name of the Company) transmitting the aforesaid securities in favour of the Claimant(s) Mr. / Ms. \_\_\_\_\_

(vii) I / we hereby state that whatever is stated herein above are true to the best of my/our knowledge and nothing has been concealed therein.

Name(s) and Signature(s) of Legal Heir(s) who are Non – Claimant(s):

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_

**VERIFICATION**

**We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the above mentioned securities.**

**Solemnly affirmed at \_\_\_\_\_**

**Deponent(s) (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_**