

FORM 30
TRANSMISSION FORM

Date

To,
Zuari Finserv Private Limited
Plot No 2, Zamrudpur Community center
Kailash Colony, New Delhi -110048

(1) I/We, the undersigned, being the

Executor(s) of the Will	<input type="text"/>	Legal heir(s)	<input type="text"/>
Administrator(s) of the Estate	<input type="text"/>	Joint holder(s)	<input type="text"/>
Successor(s) to the Estate	<input type="text"/>	Nominee	<input type="text"/>
Survivors of HUF	<input type="text"/>		

of Mr./Mrs./Ms. _____, Mr./Mrs./Ms.
_____ and Mr./Mrs./Ms.
_____, the deceased, of which *nomination / probate/ letter of
administration / succession certificate was duly granted to me / us on the _____ day of _____ of
_____ hereby request you to register me/us as the beneficial owner(s) in respect of the securities
standing in the name of the said deceased under Client ID _____ DP ID _____,

(2) I/We give hereunder the details of my/our account with a Participant to which the security balances are requested to be transmitted:

Name	Client ID	DP ID

(3) List of Documents enclosed (for Individual accounts) (tick as applicable):

A For surviving holder(s) in a joint account

Copy of Death Certificate duly attested by a Notary Public or by a Gazetted Officer.

B For nominee of the deceased:

Copy of Death Certificate duly attested by a Notary Public or by a Gazetted Officer.

In case the account of the claimant is not with the Participant, copy of Client Master Report of the account of the nominee.

C For legal heir(s)/legal representative(s) where deceased was a sole holder and no nomination in the account - Value of holding not exceeding Rs.5 lakh on the date of application

Copy of Death Certificate duly attested by a Notary Public or by a Gazetted Officer

Indemnity (format given at Annexure OC)

Affidavit (format given at Annexure OD)

No objection certificate(s) (format given at Annexure OE)

Family Settlement Deed [as an alternate to No objection certificate(s)]

In case the account of the claimant is not with the Participant, copy of Client Master Report of the account of the claimant.

D For legal heir(s)/Legal representative(s) where deceased was a sole holder and no nomination in the account - Value of holding was Rs. 5 lakh or more on the date of application

Copy of death Certificate duly attested by a Notary Public or by a Gazetted Officer

Succession certificate

Letter of Administration

Probate of the Will

In case the account of the claimant is not with the Participant, copy of Client Master Report of the account of the claimant.

(4) Declaration:

(Applicable only for legal heir(s)/legal representative(s) where deceased was a sole holder and no nomination in the account - Value of holding not exceeding Rs. 5 Lakh on the date of application)

We declare that the below mentioned person(s) are the only legal heir(s) of the deceased and there are not other legal heir(s). Of these, as specified below, some/all of them are claimants and some of them have given a No Objection Certificate in favour of other legal heir(s). Details are given below:

Sr. No.	Name of the legal heir(s)	Specify whether a claimant or given a No Objection Certificate

(5) Signatures:

Sr. No.	Name of claimant	Signature of claimant

Notes:1. This request form should be signed by the surviving joint holder(s)/ legal heir(s)/ legal representative(s)/ nominee / all surviving members of the HUF, as the case may be.

2. * Strike off whichever is not applicable.

ANNEXURE OE

NO OBJECTION CERTIFICATE

(to be given by legal heir(s)/legal representative(s) - value of holding not exceeding Rs.5 lakh on the date of application)

Date

To,

Zuari Finserv Private Limited
Plot No 2, Zamrudpur Community center
Kailash Colony, New Delhi -110048

Dear Sirs,

Re: Transmission of security balances standing in the name of Late _____ under Client ID _____ DP ID _____.

1. In connection with the above, I wish to inform you that Mr./Mrs. _____ expired on _____ and was holding the following securities under the Client ID _____ and DP ID _____.

ISIN	Name of Company	No. of securities

2. I the undersigned, residing at _____, am a legal heir of the said deceased.

3. I 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 _____.

4. In consideration of registration of the aforesaid securities in the client account of Mr./Mrs. _____ under DP ID _____ Client ID _____ at my request, I hereby agree to renounce all my rights existing as well as they may accrue to me in future in respect of the aforesaid securities.

Signed in the presence of

Bank Manager

Signature of the legal heir

Full Name and Address of Bank Manager

Note: This No Objection Certificate should be signed by each legal heir separately.

This affidavit is to be executed on Non-judicial Stamp paper of appropriate value.

ANNEXURE OD
AFFIDAVIT

(to be given by legal heir(s)/legal representative(s) - value of holding not exceeding Rs.5 lakh on the date of application)

I _____ son/daughter/spouse of _____ residing at _____ do hereby solemnly affirm on oath and state as under:-

1. That Mr./Mrs. _____ the deceased, was holding an account having Client ID _____ with _____ a Depository Participant having DP ID _____. The said deceased was holding the following securities:

ISIN	Name of Company	No. of securities

2. That the deceased had died intestate on _____ at _____.

3. That the following are the only legal heir(s) of late Mr./Mrs. _____.

S.No	Name	Address	Age	Relationship with the deceased
1				
2				
3				
4				

4. That out of aforesaid legal heirs Master/Kum. _____ aged ____ years is a minor and he/she is being represented by his/her father/mother and natural guardian Mr./Mrs. _____.

5. That all the legal heirs of my deceased _____ have applied to _____ Zuari Finserv Private Limited 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/NSDL holding the Participant/NSDL 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.

DEPONENT

VERIFICATION

I hereby solemnly affirm and say that what is stated herein above are true to my knowledge and nothing has been concealed therein and that I am competent to contract and entitled to rights and benefits of the above securities.

Solemnly affirmed at _____ on the _____ day of _____ of _____.

Signed in the presence of

Full Name and _____
Address of _____
Magistrate/ _____
Notary: _____
Pin : _____
Regd. No _____

(Signature of Magistrate/Notary)

Use space below to affix:

Notarial/Court Fee Stamps	Official Seal of Magistrate/Notary
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- Notes: 1. This affidavit is to be executed in the presence of a first class judicial or stipendiary Magistrate/Public notary.
2. This affidavit should be signed by each deponent separately.

Indemnity to be executed on Non-judicial Stamp paper of appropriate value

ANNEXURE OC

LETTER OF INDEMNITY

(to be given by legal heir(s)/legal representative(s) - value of holding not exceeding Rs.5 lakh on the date of application)

To,
DP and NSDL
Address

Dear Sirs,

Sub : Transmission of securities standing in the name of Late Mr./Mrs. _____.

I/We hereby inform you 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

The said deceased died intestate without leaving a Will on the _____ day of _____.

We further inform you that he/she left behind him/her as his/her only surviving heirs and next of kin, the following persons according to the Law of Intestate Succession applicable to him/her by which he/she was governed at the time of his/her death.

- (a) _____
- (b) _____
- (c) _____

We have, therefore, 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 of production of a succession certificate 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 transfer securities to the name of the undersigned _____ 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 or an order of the court of competent jurisdiction.

IN WITNESS WHEREOF THE said _____ [name(s) of applicant(s)] have here unto set their respective hands and seals this _____ day of _____ of _____.

Signed, sealed and delivered by the said applicant(s)

Signature(s) of applicant(s)

SURETY

I the undersigned certify that the above facts are true to the best of my knowledge and bind myself as surety to make good all claims, charges, costs, damages, demands, expenses and losses which the Participant/NSDL, its successors and assigns may sustain, incur or be liable for in consequence of complying with the request contained above of the applicant(s) herein and the Participant/ NSDL and its successors, assigns will be entitled to claim and realise all claims, charges, costs, damages, demands, expenses and losses from me or from my properties, as the case may be.

Signature of Surety

Name : _____

Address: _____

Date : _____

Place : _____

(Signature of Magistrate/Notary)

Full Name and _____

Address of _____

Magistrate/ _____

Notary: _____

PIN

Regd. No. _____

Use space below to affix:

Notarial/Court Fee Stamp	Official Seal of Magistrate/Notary
--------------------------	------------------------------------

Note: This indemnity is to be executed in the presence of a first class judicial or stipendiary Magistrate/Public notary.