

ANNEXURE - O
TRANSMISSION FORM



**InvestMentor
Securities Ltd.**
Invest Today For Your Tomorrow
CIN : U67120GJ1994PLC023692

INVESTMENTOR SECURITIES LIMITED.
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Website : www.investmentoronline.com



Date :

D	M	M	Y	Y	Y	Y
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(1) I/We, the undersigned, being the

- ☐ Executor(s) of the Will ☐ Legal heir(s) ☐ Joint holder(s) ☐ Nominee
☐ Administrator(s) of the Estate ☐ Successor(s) to the Estate

of Mr./Mrs./Ms. _____, Mr./Mrs./ Ms. _____
and Mr./Mrs./Ms. _____, the deceased, of which *nomination Succession
Certificate/Probate of Will/Will/Letter of Administration/ Court Decree as may be applicable issued by competent
Government Authority, was duly granted / issued 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 **IN301233**

**(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:

- ☐ Original death certificate or copy of death certificate attested by the joint account
holder(s) subject to verification with the original or copy of the death certificate duly
attested by a notary public or by a gazetted officer;

☐ **B** For nominee(s) of the deceased:

- ☐ **i** Original death certificate or copy of death certificate attested by the nominee(s)
subject to verification with the original or copy of the death certificate duly attested
by a notary public or by a gazetted officer;
- ☐ **ii** Self-attested copy of PAN card of the nominee(s);
- ☐ **iii** In case the account of the nominee(s) is not with the Participant, copy of Client
Master Report of the account of the nominee(s);
- ☐ **iv** In case the nominee is a minor, Copy of Birth Certificate;
- ☐ **v** In case of nominee being a minor / of unsound person, KYC of the Guardian of Minor
/ of unsound person;

C For legal heir(s) or claimant(s), where deceased was a sole holder and no nomination in the account - Value of holding not exceeding Rs. 15,00,000 (Rupees Fifteen Lakhs) as on the date of application:

- i** Original death certificate or copy of the death certificate attested by the legal heirs (s) or claimant(s) subject to verification with the original, or copy of the death certificate duly attested by a notary public or by a gazetted officer;
- ii** Self-attested copy of PAN card of the nominee(s);
- iii** In case the account of the legal heirs(s) / claimant(s) is/are not with the Participant, copy of Client Master Report of the account of the legal heirs(s) / claimant(s);
- iv** In case the claimant/legal heir is a minor, Copy of Birth Certificate
- v** In case of claimant being a minor / of unsound mind, KYC of the Claimant Guardian
- vi** A notarized affidavit, in the format provided in Form 30 from all legal heir(s)/ claimants made on non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the securities;

However, in case the legal heir(s)/claimant(s) are named in any of the Succession Certificate or Probate of Will or Will or Letter of Administration as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925), or Legal Heirship Certificate or its equivalent certificate issued by a competent Government Authority, an affidavit from such legal heir(s)/claimant(s) alone shall be sufficient

- vii** Copy of the Succession Certificate (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer;

OR

Copy of Letter of Administration (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer;

OR

Copy of Court Decree (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer;

OR

Copy of Probate of Will* (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer;

*Probate of Will shall be only insisted on, if applicable in terms of Indian Succession Act, 1925

OR

Copy of Will** (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer shall be accompanied with a notarised Indemnity Bond from the legal heir(s) / claimant(s) to whom the securities are transmitted, made on non-judicial stamp paper of appropriate value in the format specified in Form 30;

** Will duly executed in terms of the Indian Succession Act, 1925

OR

Copy of Legal Heirship Certificate (or its equivalent) issued by a Competent Government Authority duly attested by a Notary Public or by a Gazetted Officer or attested by the legal heir(s) / claimant(s) subject to verification with the original, and accompanied with (i) a notarized indemnity bond from the legal heir(s) / claimant(s) to whom the securities are transmitted, made on non-judicial stamp paper of appropriate value in the format specified in Form 30; and (ii) no objection from all the non-claimants stating that they have relinquished their rights to the claim for transmission of securities, duly attested by a notary public or by a gazetted officer in the format specified in Form 30

viii In case of non-availability of documents mentioned in Para C-vii, the following shall be submitted along with other documents mentioned above;

a Indemnity Bond (format enclosed) ;

b No Objection Certificate(s) from all the legal heir(s) / non-claimants, clearly relinquishing their rights to the claim for transmission of securities (format enclosed)

OR

☐ Copy of Family Settlement Deed duly executed by all legal heir(s) , duly attested by a notary public or by a gazetted officer [as an alternate to No objection certificate(s)]

D For legal heir(s)/claimant(s) where the deceased was a sole holder and no nomination registered in the account - Value of holding exceeds Rs. 15,00,000 (Rupees Fifteen Lakhs) as on the date of application:

i Original death certificate or copy of the death certificate attested by the legal heirs(s) or claimant(s) subject to verification with the original, or copy of the death certificate duly attested by a notary public or by a gazetted officer;

ii Self-attested copy of PAN of the legal heir(s) / claimant(s);

iii In case the account of the legal heir(s) / claimant(s) is/are not with the Participant, copy of Client Master Report of the account of the legal heir(s) / claimant(s);

iv Copy of the Succession Certificate (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer

OR

Copy of Letter of Administration (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer;

OR

Copy of Court Decree (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer;

OR

Copy of Probate of Will* (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer;

*Probate of Will shall be only insisted on, if applicable in terms of Indian Succession Act, 1925

OR

Copy of Will** (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s), attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a gazetted officer shall be accompanied with a notarised Indemnity Bond from the legal heir(s) / claimant(s) to whom the securities are transmitted, made on non-judicial stamp paper of appropriate value in the format specified in Form 30;

** Will duly executed in terms of Indian Succession Act, 1925

OR

Copy of Legal Heirship Certificate (or its equivalent) issued by a Competent Government Authority duly attested by a Notary Public or by a Gazetted Officer or attested by the legal heir(s) / claimant(s) subject to verification with the original, and accompanied with (i) a notarized indemnity bond from the legal heir(s) / claimant(s) to whom the securities are transmitted, made on non-judicial stamp paper of appropriate value in the format specified in Form 30; and (ii) no objection from all the non-claimants stating that they have relinquished their rights to the claim for transmission of securities, duly attested by a notary public or by a gazetted officer in the format specified in Form 30;

v In case the claimant/legal heir is a minor, Copy of Birth Certificate

vi In case of claimant being a minor / of unsound mind, KYC of the Guardian of minor / of unsound person;

vii A notarized affidavit, in the format provided in Form 30 from all legal heir(s)/ claimants made on non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the securities;

Provided that, in case the legal heir(s)/claimant(s) are named in any of the Succession Certificate or Probate of Will or Will or Letter of Administration as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925), or Legal Heirship Certificate or its equivalent certificate issued by a competent Government Authority, an affidavit from such legal heir(s)/claimant(s) alone shall be sufficient;

(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

I/We hereby request you to also close my/our TRADING ACCOUNT : _____

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.