

ANNEXURE O
TRANSMISSION FORM

Date

To,
Marwadi Shares & Finance Ltd.
Marwadi Financial Plaza,
Off. 150 Feet Ring Road,
Rajkot.

(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 – **IN300974**.

(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

FOR OFFICE USE ONLY

Branch	Received By & Receipt No.	Document Verified by	Authorised Signatory			Closed by
			Approval I	Approval II	Approval III	

(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

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

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)]

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

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

Succession certificate

Letter of Administration

Probate of the Will

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

A Value of holding not exceeding Rs.10 lakh on the date of application. [Where there is an objection from any member of HUF, documents mentioned at **B** below must be submitted]

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

Indemnity (*format given at Annexure OF*)

Affidavit (*format given at Annexure OG*)

B Value of holding was Rs. 10 lakh or more on the date of application.

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

Court Decree

Deed of Partition

C Separation/ partition of HUF:

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

Settlement Deed

Deed of Partition

Court Decree

(6) 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 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 Marwadi Shares & Finance Ltd., a Depository Participant having DP ID IN300974. 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.

Date: _____

Place: _____

(Signature of Surety)

Name: _____

Address: _____

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

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. ~~1~~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 Marwadi Shares & Finance Ltd., a Depository Participant having DP ID – IN300974. 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. _____.

	Name	Address	Age	Relationship with the deceased
1				
2				
3				
4				
5				

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 _____ (**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/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
---------------------------	------------------------------------

- 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.

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,
Marwadi Shares & Finance Ltd.
Marwadi Financial Plaza, Off. 150 feet Ring Road,
Rajkot.

Dear Sirs,

Re : Transmission of security balances standing in the name of late _____
_____ under Client ID _____ DP ID – IN300974.

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 – IN300974.

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.

Annexure

NOTE: - (To be stamped as per the stamp duty rates prevailing in the place where the document is executed or the place where it is to be received and stored by the Depository Participant whichever is higher)

INDEMNITY

This Deed of indemnity is made at _____ this _____ day of _____ by _____ S/o / D/o / w/o of _____ residing at _____ . [herein after referred to as the "Claimant" which expression shall unless it be repugnant or contrary to the context there of means and includes his legal heirs and successors and permitted assigns in favour of _____ [DP ID: IN _____] and having its registered address at _____ and acting as a duly registered Participant under the provisions of the Depositories Act, 1996 and the Regulations and Bye Laws made there under [herein after referred to as the "Participant" which expression shall, unless it be repugnant or contrary to the context thereof, mean and include its successors and permitted assigns]

AND

National Securities Depository Limited and having its registered address at 4th floor, Trade World, "A"-Wing, Kamala Mills Compound, Senapati Bapat Marg, Lower Parel, Mumbai 400013 and acting as a duly registered Depository under the provisions of the Depositories Act, 1996 and the Regulations and Bye Laws made there under [herein after referred to as the "Depository" which expression shall, unless it be repugnant or contrary to the context thereof, mean and include its successors and permitted assigns]

WHEREAS:

1. The Beneficial owner [BO] Account [Client ID: _____] was held in the single name of _____ with the Participant, _____ [DP ID: IN _____].
2. The BO account holder _____ died on _____.
3. The list of the securities held in the said BO account [Client ID _____] of _____ is provided in the Statement of Holdings annexed hereto and marked as Annexure "A".

4. At the time of opening of account or subsequently, the BO account holder [Client ID: _____; DP ID: IN_____] had mentioned the name of the Claimant to receive the securities held in the BO account [Client ID: _____; DP ID: IN_____]. However, the BO account holder, _____ did not provide the nominee information in the format specified at Annexure "JA" and avail the nomination facility as per the procedure specified in the NSDL Business Rules.

5. The Claimant has requested the Participant to effect the transmission of the securities held in the name of _____ [Client ID: _____ ; DP ID: _____] to the BO account of the Claimant [Client ID: _____; DP ID: _____] without insisting on production of a succession certificate and on the basis of the documents submitted by the Claimant and in consideration of the Participant agreeing to transmit the securities now held in the said BO account [Client ID: _____; DP ID: IN_____] to the BO account of the Claimant [Client ID: _____; DPID: _____], I, _____, the Claimant indemnify the Depository and the Participant as under :

This DEED WITNESSETH that in consideration of the Participant agreeing to transmit the securities now held in the said BO account [Client ID: _____; DP ID IN_____] as per Annexure "A", that I, _____, the Claimant do hereby agree to keep indemnified and hold the Depository and the Participant saved, harmless and defended for all times hereafter from and against all losses, claims, legal proceedings, actions, demands, risks, charges, taxes, duties, damages, costs, expenses, including attorney and legal fees and penalties whatsoever which may be initiated against the Depository or the Participant and with the reason of the Participant having agreed at my request to transmit the securities now held in the BO account [Client ID: _____; DP ID IN_____] as per Annexure „A" to the BO account [Client ID: _____] held with (Name of the Participant) in the single name of the Claimant _____ and further agree to indemnify the Depository and the Participant, in case of any claims/disputes in respect of the securities listed at Annexure „A", by any person. If called upon by the Depository and or the Participant to do so, I shall join any proceedings that may be initiated against the Depository and / or Participant and by any person and shall defend at my cost any such proceedings.

Further, I shall initiate such proceedings as may be considered necessary by the Depository and /or the Participant, if called upon by the Depository and or the Participant to do so, in order to protect the Depository"s and /or Participant's interests and to further and perfect the indemnity granted by me hereby in favour of the Depository and the Participant .

IN WITNESS WHEREOF:

Dated this ____ day of _____, 20__

Signed and delivered by the _____ (Claimant)

Before Me

Notary Public

૨૦/- રૂ. નાં સ્ટેમ્પ પેપર

પ્રતિ,

મારવાડી શેર એન્ડ ફાઇનાન્સ લી.

રાજકોટ,

વિષય:ડીમેટ એકાઉન્ટ નં :.....

જય ભારત સાથે જણાવવાનું કે ઉપરોક્ત ડીમેટ એકાઉન્ટ શ્રી.....,શ્રી.....,શ્રી.....નાં નામનું છે. શ્રી.....નું અવસાન તા.ના રોજ થયેલ છે. ઉપરોક્ત અવસાન પામેલ માં જોઈન્ટ એકાઉન્ટ ધારક / નોમીની તરીકે અમે / મે ડીમેટ ખાતામાં રહેલા શેરનો કલેઈમ કરેલ છે. આ ડીમેટખાતામાં તેમનાં અવસાન બાદ થયેલ ટ્રાન્ઝેક્શન અમારી / મારી જાણ માં છે. અને અમારા / મારા દ્વારા થયેલા છે. આ ટ્રાન્ઝેક્શન એકાઉન્ટ ધારકનાં અવસાન બાદ ન કરવા જોઈએ, તેવું જ્ઞાન અમોને / મને થયેલ છે. અમારા / મારાથી શરતચુકે / ભુલથી આ ખાતામાં ટ્રાન્ઝેક્શન થયેલ છે. આ ટ્રાન્ઝેક્શન થયા બાદ અમોને / મને જોઈન્ટ એકાઉન્ટ ધારક / નોમીની તરીકે જે તે કંપનીનાં શેર્સ ઓછા મળેલ છે, તે અમોને / મને માન્ય અને સ્વીકાયે છે. આ શેર્સ જે અવસાન બાદ વેચાણ થયેલ છે કે ટ્રાન્સફર થયેલ છે, તે અમોને / મને અને અમારા / મારા વંશ વારસોને બંધન કરતો છે. આ અંગે ભવિષ્યમાં પણ આપની કંપની કે કોઈ અધિકારી સાથે વાંધો કે તકરાર ઉભી કરીશ નહી તેની ખાત્રી આપુ છું. મૃતકનાં મૃત્યુ બાદ મારા તરફથી થયેલા ટ્રાન્ઝેક્શનને કારણે મૃતકનાં કોઈ વારસદારો તરફથી કંપની કે અન્ય અધિકારીઓ ઉપર કોઈપણ પ્રકારની કાયેવાહી કરશે અને જવાબદારી ઉભી તો તે અંગેની સંપૂર્ણ જવાબદારી મારી તથા મારા વંશ વરસોની રહેશે તેવી ખાત્રી આપુ છું. તો આપ શ્રીને વિનંતી સાથે જણાવવાનું કે ઉપરોક્ત ખાતામાં જે શેર્સ પડેલા હોય તે શેર્સનો અમારો / મારો કલેઈમ મંજૂર કરી આપશો.

આભાર સહ....

X(1) _____ X(2) _____

(જોઈન્ટ હોલ્ડર / નોમીની)