

FORM 30
TRANSMISSION FORM

Date

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Religare Broking Limited

Club 125 (Tower A) A-3 4 & 5, Sector-125,
 Noida, Uttar Pradesh-201301
 CIN No.: U65999DL2016PLC314319
 NSDL DP ID : IN301774

(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"/> |

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 in terms of the Indian Succession Act, 1925 or Legal Heirship Certificate (or its equivalent Certificate) 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 _____.

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

☐ A For surviving holder(s) in a joint account :

☐ I 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 or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority;

☐ 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 or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority;

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) duly signed and stamped/ electronic copy of Client Master Report digitally signed by the Participant;

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 or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority;

ii Self-attested copy of PAN card of the legal heir(s) / claimant(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) duly signed and stamped/ electronic copy of Client Master Report digitally signed by the Participant;

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 |
| | <p>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;</p> <p>*Probate of Will shall be only insisted on, if applicable in terms of Indian Succession Act, 1925</p> <p>OR</p> <p>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;</p> <p>** Will duly executed in terms of the Indian Succession Act, 1925</p> |
| | 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 |

☐ 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 or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority;

☐ 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) duly signed and stamped/ electronic copy of Client Master Report digitally signed by the Participant;

☐ 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)/ claimant(s) where deceased was a sole holder and no nomination in the account - Value of holding exceeding / not exceeding Rs. 15,00,000 (Rs. Fifteen Lakhs) as on the date of application)

We declare that the below mentioned person(s) are the only legal heir(s) /claimant(s) of the deceased and there are no other legal heir(s)/claimant(s). Of these, as specified below, some/all of them are legal heir(s) / non-claimant(s) and some of them have given a No Objection Certificate relinquishing their rights on the securities held in the aforesaid Beneficial Owner account in favour of other legal heir(s)/claimant(s). Details are given below:

| Sr. No. | Name of the legal heir(s) | Specify whether a legal heir(s) / claimant(s) given a No Objection Certificate |
|---------|---------------------------|--|
| | | |
| | | |
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(5) Signatures:

| Sr. No. | Name of claimant | Signature of claimant |
|---------|------------------|-----------------------|
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Kindly Note

1. This request form should be signed by the surviving joint holder(s)/ legal heir(s)/ claimant(s)/ nominee, as the case may be.
2. Strike off whichever is not applicable.
3. All relevant should be correctly and neatly filled.
4. Payment In the deceased account should be clear.
5. There should be no debit transaction in deceased A/c after death of the holder.

Religare Broking Limited
 Club-125 (Tower A) A 3/4/5,
 Sector-125-Noida-201301
 CIN No.: U65999DL2016PLC14319
 NSDL DP ID: IN301774

Addition add-on details required to be uploaded in KRA.

Deceased details

| | |
|----------------------------|--|
| Client ID: | |
| Name: | |
| PAN No of Deceased: | |
| Date Of Birth: | |

Notifier/Claimants Details

| | |
|--|--|
| Client ID | |
| Name: | |
| Relationship: | |
| PAN No: | |
| Mobile No: | |
| E-mail ID: | |
| Address: | |
| Notifier/Claimant Signature(s): | |

| | | | | | | | | |
|------|---|---|---|---|---|---|---|---|
| Date | D | D | M | M | Y | Y | Y | Y |
|------|---|---|---|---|---|---|---|---|

1. Account Number

| | | | | | | | | | | | | | | | | |
|-------|---|---|---|---|---|---|---|---|-----------|--|--|--|--|--|--|--|
| DP ID | I | N | 3 | 0 | 1 | 7 | 7 | 4 | Client ID | | | | | | | |
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Declaration:

(Applicable only if transmission of securities in case of nomination)

- (a) I / We are receiving the assets of the deceased's demat account as a trustee to his / her legal heir(s).
- (b) I / We shall extend all co-operation in transferring such assets to the legal heir(s) either suo moto or when approached by the latter.
- (c) The Participant legally and validly discharged upon transmission of assets to the nominee(s). In case I / We fail to discharge my / our liability, or if there is any dispute between me / us and the legal heir(s) of the deceased, then the Participant or NSDL, shall not be party to such disputes.

2. Signature of the Nominee(s)

| Sr. No. | Name of the Nominee(s) | Signature |
|---------|------------------------|-----------|
| 1 | | |
| 2 | | |
| 3. | | |