

To,

SPFL Securities Limited

15/63-L, Civil Lines, Kanpur - 208001

Date	D	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)

Administrator(s) of the Estate

Joint Holder(s)

Successor(s) to the Estate

Nominee

of Mr/Mrs./Ms. _____

Mr/Mrs./Ms. _____ and Mr/Mrs./Ms. _____

the deceased, of which

*Nomination / Succession Certificate / Probate of Will / Letter of Administration / Court Decree as may be applicable in terms of the Indian Succession Act 1925 of 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

(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 deceased:

☐ Original death certificate or copy of death certificate duly 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.

☐ Self-attested copy of PAN card of the nominee(s);

☐ 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)

☐ In case the nominee is a minor, Copy of Birth Certificate;

☐ In case the 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 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:

☐ Original death certificate or copy of the death certificate attested by the legal heir(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;

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

☐ 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);

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

☐ In case of claimant being a minor / of unsound mind, KYC of the Claimant Guardian;

☐ 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;

☐ 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;

☐ 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;

☐ 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;

☐ 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

☐ 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 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

☐ 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 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 (1) 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 (2) 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
- ☐ In case of non-availability of documents mentioned in Para C-vii, the following shall be submitted along with other documents mentioned above;
- ☐ Indemnity Bond (*format enclosed*)
- ☐ No Objection Certificate(s) from all the legal heir(s)/non-claimant(s) 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) or claimant(s), where deceased was sole holder and no nomination registered in the account - Value of holding exceeding Rs. 15,00,000 (Rupees Fifteen Lakhs) as on the date of application:

- ☐ Original death certificate or copy of the death certificate attested by the legal heir(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;
- ☐ Self-attested copy of PAN card of the legal heir(s)/claimant(s);
- ☐ 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);
- ☐ 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 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 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 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 heirs(s)/claimant(s) subject to verification with the original, and accompanied with (1) 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 (2) 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

- ☐ In case the claimant / legal heir is a minor, Copy of Birth Certificate;

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

A notarized affidavit, in the format provided in Form 30 from all legal heir(s) / claimant(s) 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 sole holder and no nomination in the account - Value of holding exceeding Rs. 15,00,000 (Rs. Fifteen Lakhs as on the date of application))

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

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

Signatures:

S. No.	Name of claimant(s)	Signature of Claimant(s)

Notes: 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.