

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 :

(III)List of Documents enclosed :

- Original death certificate or copy of the death certificate or copy of the death certificate duly attested by a notary public or by a gazetted officer. **(Mandatory)**
- Self-attested copy of pan card & aadhar card of the legal heir(s) / claimant(s), & originals of the same documents for bank official verification.**(Mandatory)**
- 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).**(Mandatory)**
- 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 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. **(Mandatory)**
- 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.

LIST(A)

Copy of the Succession Certificate (in terms of the Indian Succession Act, 1925), evidencing rights of the legal heir(s) / claimant(s),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),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), 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), 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),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.

** 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 and accompanied with 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 and 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.

(IV) 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).

Sr No	Name of claimant(s)	Signature of claimant(s)
1		
2		
3		
4		
5		
6		
7		
8		

Acknowledgement

We hereby acknowledge the receipt of your request for transmission in following demat account in favour of legal heir(s). **DP ID: IN300845 CLIENT ID :** _____

DATE : _____

Seal & signature of DP : _____



The Surat People's Co-op. Bank Ltd.

Estd.: 1922

Multi State Scheduled Bank

Demat: 'Vasudhara', 2nd Floor, Parsi sheri, Navapura, Surat - 395003

Tele.: (+91-0261) 2458428, 2458437

FAX : (+91-0261) 2458431

e-mail : info@spcbl.in

Toll Free : 1800 233 7722

website : www.spcbl.in

DP ID - IN300845

Intimation of Demise information by the Joint Holder(s) /Nominee(s) /legal heir(s)/surviver of HUF/ Executer(s) of the will

Dear Sir/Madam,

Date:

Sub.: Intimation of demise information.

Ref.: PAN- , Account Number -

I/We regret to inform you about the demise having the above PAN / Account, where I/We is/are the joint holder(s) / registered nominee(s)/legal heir(s) in the accounts maintained with your organisation / entity. Original downloaded / self-attested copy of the Death Certificate is attached for your kind action. I/We am/are enclosing the self attested copy of deceased person for necessary validation. Please let us know the procedure and documentation requirements to transmit the units in my/our favour. Also, note my/our contact details for necessary communication / contacts in this regard and not for updation in KYC records or in any of the accounts.

Details	Joint holder 1/nominee 1/legal heir	Joint holder 2/nominee 2/legal heir	Joint holder 3/nominee 3/legal heir
NAME			
PAN			
RELATION			
MOBILE			
EMAIL			
ADDRESS			

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements. I/We hereby authorize you to disclose, share, rely, remit in any form, mode, or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the KYC Registration Agency(ies) for necessary action.

Signature:

Joint holder 1/nominee 1/legal heir	Joint holder 2/nominee 2/legal heir	Joint holder 3/nominee 3/legal heir

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.

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

ANNEXURE OD
A F F I D A V I T

(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. _____.

	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 _____ (**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

D	D
---	---

M	M
---	---

Y	Y	Y	Y
---	---	---	---

To,
Name of Participant
Address of Participant

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.