

FORM 30
TRANSMISSION FORM

Date ____ / ____ / ____

To,
Nuvama Wealth And Investment Limited
DP ID IN303719 AND IN302201
801/804, Wing A, Bldg No. 3, Inspire BKC, G Block,
Bandra Kurla Complex, Bandra East, Mumbai-400051

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.
_____ 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 _____

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

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

A	For surviving holder(s) in a joint account :	
	i.	Self-attested copy of death certificate attested by the joint account holder(s) subject to verification with the original or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority;
B	For surviving holder(s) in a joint account :	
	i.	Self-attested copy of death certificate attested by the nominee(s) subject to verification with the original or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority;
	ii.	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
	iii.	In case the nominee is a minor, Copy of Birth Certificate;
	iv.	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 or simultaneous passing away of joint holders without nomination in the account - Value of holding not exceeding Rs. 15,00,000 (Rupees Fifteen Lakhs) as on the date of application:
i.	Self-attested copy of the death certificate attested by the legal heirs (s) or claimant(s) subject to verification with the original 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
	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 c. 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 or simultaneous passing away of joint holders without nomination - Value of holding exceeds Rs. 15,00,000 (Rupees Fifteen Lakhs) as on the date of application:	
	i.	Self-attested copy of the death certificate attested by the legal heirs (s) or claimant(s) subject to verification with the original 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
		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

Declaration: (Applicable only for legal heir(s)/ claimant(s) where deceased was a sole holder and no nomination in the account or simultaneous passing away of joint holders without nomination - 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

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

- I / We are receiving the assets of the deceased's demat account as a trustee to his / her legal heir(s).
- 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.
- 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.

Sr No	Name of the Claimant	Signature of Claimant

Note:

- This request form should be signed by the surviving joint holder(s)/ legal heir(s)/ claimant(s)/ nominee, as the case may be.
- * Strike off whichever is not applicable