

PRE-CHECK

Following pre-check to be done before sending the Transmission Requests for DP accounts (CDSL/NSDL)] to enable us to process the requests expeditiously and to avoid possible rejections.

You need to submit duly filled & signed Form and submitted following documents:-

List of Documents (for Individual accounts):

- 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

Transmission Request Form(Please fill all the details in **Block Letters** in English)**SBICAP Securities Ltd.**

CIN: U65999MH2005PLC155485

Marathon Futurex, 12th Floor, A & B Wing, N. M. Joshi Marg, Lower Parel (E), Mumbai - 400013

Tel: 91-22-42273300 / 01 | Fax: 91-22-4227 3331

CDSL: SEBI REGN. No.: IN-DP-CDSL-370-2006 & DP ID: 12047200 | **NSDL:** SEBI REGN. No.: IN-DP-NSDL-369-2014 & DP ID: IN306114

Email: helpdesk@sbicapsec.com | Web: www.sbismart.com

Dear Sir / Madam,

(1) I / We, the undersigned, being the

Executor(s) of the Will Legal heir(s) Joint holder(s) Nominee
 Administrator(s) of the Estate Successor(s) to the Estate

of Mr./Mrs./Ms _____ Mr./Mrs./Ms _____ and
 Mr./Mrs./Ms _____, the deceased, of which *nomination / probate / letter administration /
 succession certificate was duly granted to me/us on the _____ day of _____ of 20____ 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 _____ DP ID _____ Client ID _____

Attach an annexure duly signed by account holders(s) if the space above is insufficient.

(3) I/We, the under signed, declare and confirm that all the transactions in the deceased holder account (referred in point no.1) are true/authentic.

Document Submitted: 1) _____ 2) _____
 3) _____ 4) _____

(Successors / Heirs / Nominees)

Name(s) of the surviving holder(s)	First/Sole Holder	Second Holder	Third Holder
Signature(s) of the surviving holder(s)			

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

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 as the case may be. 2. * Strike off whichever is not applicable.**Acknowledgement Receipt**

Date: _____

We hereby acknowledge the receipt of the following instructions for transmission from the deceased BO account as per details given on the transmission form. Account number of the deceased BO

DP ID	Client ID	First Holder	Second Holder	Third Holder
Documents Submitted				

Subject to verification.

Depository Participant Seal and Signature