

Nomination Form

Suresh Rathi Securities Pvt. Ltd.

Mahesh Hostel Complex, Bombay Motors Circle, Chopasni Road, JODHPUR (Raj.)

Nomination Registration No.

To be filled in by individual applying singly or jointly (Not applicable for HUF/Minor Account)

DP ID

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Client ID

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Trading
Account

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Nomination details are mandatory for Sole holder Demat Account and are optional for joint holder Demat Account

☐ I/We wish to make a nomination (As per details given below)

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

	1st Nominee	2nd Nominee	3rd Nominee
Name of the Nominee(s)			
Shares of Nominee(%)**	Specify Percentage %	Specify Percentage %	Specify Percentage %
Relationship with Applicant #			
Nominee(s) Address			
	PIN Code	PIN Code	PIN Code
Nominee Identification Document	☐ PAN ☐ Driving License ☐ Aadhaar ☐ Passport (Additional document for NRI)	☐ PAN ☐ Driving License ☐ Aadhaar ☐ Passport (Additional document for NRI)	☐ PAN ☐ Driving License ☐ Aadhaar ☐ Passport (Additional document for NRI)
Identity Number ***	Ref. ID no.	Ref. ID no.	Ref. ID no.
Mobile/Telephone no. of Nominee(s)			
Email ID of Nominee(s)			
Date of Birth of Nominee(s) Only when Nominee is Minor			
Name of Guardian (Mr./Ms.) In case nominee is minor.			
Address of Guardian(s)			
	PIN Code	PIN Code	PIN Code
Relationship of Guardian with Nominee #			
Guardian Identification Document	☐ PAN ☐ Driving License ☐ Aadhaar ☐ Passport (Additional document for NRI)	☐ PAN ☐ Driving License ☐ Aadhaar ☐ Passport (Additional document for NRI)	☐ PAN ☐ Driving License ☐ Aadhaar ☐ Passport (Additional document for NRI)
Guardian Identity Number***	Ref. ID no.	Ref. ID no.	Ref. ID no.
Mobile/Telephone no. of Guardian			
Email ID of Guardian			

Name of holder (s)			
Signature & Name of holder (s)	Signature 1st holder	Signature 2nd holder	Signature 3rd holder

*Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects'). Provide only number: PAN or Driving License or Aadhaar (last 4). However, in case of NRI / OCI / PIO, Passport number is acceptable.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows;
(please tick, as appropriate) ☐ Name of nominee(s) ☐ Nomination: Yes Or No (to be displayed). Is default when either of details are not selected

2) Signature(s) – As per the mode of holding in demat account(s) for nomination

	Name of Holders	Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole / 1st Holder				
2nd Holder				
3rd Holder				

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure for Opt-Out.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account / folio. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the / demat account i.e.
 - ☞ 'Either or Survivor' Accounts - any one of the holder can sign
 - ☞ 'First holder' Accounts - only First holder can sign
 - ☞ 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.
- In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

ILLUSTRATION

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0%	0%	0%
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%		40%	60%	100%

☐ I/We wish to Opt Out of Nomination.

Declaration Form for opting out of nomination

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name of holder (s)			
Signature & Name of holder (s)	Signature 1st holder	Signature 2nd holder	Signature 3rd holder