## PMS TRANSMISSION REQUEST FORM



(In case of death of sole or one/more of the joint holders)

## NJ ASSET MANAGEMENT PRIVATE LIMITED

Registered Office: Block No. 601, 3rd Floor, 'C' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No.10,Udhna, Surat – 394210, Gujarat Corporate Office: Unit No. 101A, 1st Floor, Hallmark Business Plaza, Bandra (East), Mumbai – 400051, Maharashtra.

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	(Please fill in the ir	8)	Date D D M M Y Y Y Y		
Details of Decease	d holder account				
PMS Account No:					
First Holder Name:	First Name		Middle Name		Last Name
	Name of Dec	eased Holde	r (s)		Date of Demise
	Name o				
	Name of S				
	Name of	Third Holder			
					the claimant is a Minor), request you details of claimant(s)/Successor(s).
Details	Claimant/Succes	ssor (1)	Claimant/Successor	(2)	Claimant/Successor (3)
Name of Claimant					
DP ID					
Client ID					
Mobile No					
Email ID					
Whether Claimant(s)/ Successor(s) wants to  continue PMS with NJ AMPL		☐ Yes ☐ NO		☐ Yes ☐ NO	
committed to provide a	ny further details or addition	onal informatior		Í AMPL.	edge and belief. I assure you that I ar . Claimant / Successor/ Guardian of the
		Ssor / Second Holder/		Successor/ Third Holder/	
Nominee (1) / Guardian of successor Nominee (2		) / Guardian of successor Nor		ominee (3) / Guardian of successor	
THIS NEEDS TO BE S	UBMITTED ONLY IN CAS	SE IF THE CLA	IMANT CHOOSES NOT TO CO	NTINUE	THE PMS FACILITY WITH NJ AMPI
		Signatur	e Verification Format		
		:	Signed before me		
A4.					
At:					
On:					
			Official storms 0	ool of N	Signature of Notary / JMFC

## Notes:

- 1. Upon transmission, the PMS account with NJ Asset Management Private Limited (NJ AMPL) shall be considered as closed.
- 2. Investors are requested to use same pen(ink) for form filling and signatures across the document(s).
- 3. The application should be submitted to NJ AMPL within 15 days from the date of request.
- 4. Upon requesting the transmission of a PMS account, the successor gives consent to terminate all active systematic registrations and bank mandates registered with NJAMPL.
- 5. In case claimant continue PMS facility with NJAMPL,
  - · Any outstanding liabilities and/or surplus cash available will be transferred in the proportion of claim.
  - If the current value of holdings belonging to the deceased holder is less than INR 50 Lacs, the claimant needs to comply with regulatory threshold (currently INR 50 lakhs) by transferring the necessary shortfall amount before the account activation process.
  - · Upon transmission, the Successor will have investment in the same Investment Approach, in which deceased holder's had investment.
  - · The Claimant should be KYC complied and additionally is required to comply with all the statutory requirement.
- 6. If the claimant chooses not to continue the PMS facility with NJ AMPL,
  - Any remaining surplus funds after adjusting any outstanding liabilities, will be transferred to the successor's designated bank account as provided with the transmission request form.
  - If the cash balance is not sufficient to collect the outstanding liabilities from the deceased holder's account, transmission request will be processed upon completion of payment by the successor.

## **ANNEXURE**

Transmission Documents Matrix - Ready Reckoner							
Sr. No.	Documents required for Transmission	Transmission to Surviving Holders	Sole Holder / All Joint holders deceased & Nomination registered	Sole Holder / All Joint holders deceased & Nomination NOT registered or Nominee also deceased			
1	PMS Transmission form	✓	✓	✓			
2	Broker/DP closure and Transmission form	✓	✓	✓			
3	Investor Demise Intimation Form for DP/Broker & PMS [Along with PAN copy of deceased investor and Self-attested PAN copy of notifier(s)]	✓	✓	✓			
4	Client Master List original copy (with DP stamp & sign In case of transfer outside NJ DP).	✓	✓	✓			
5	Death Certificate of deceased Holder/s in original or Photocopy duly attested by a Notary Public or a Gazetted Officer.	<b>√</b>	<b>~</b>	<b>✓</b>			
6	Cancelled cheque leaf with name and bank account number pre-printed OR copy of bank statement / Photocopy of Bank Passbook of successor/s with current entries (not older than 3 months) with self attestation.	✓	<b>√</b>	<b>√</b>			
7	A Succession Certificate / A Letter of Administration / A Probate of the will of the deceased.	NA	NA	<b>√</b>			
8	In case of name mismatch of nominee/successor i.e. spelling errors, sequence error, Affidavits (on Rs. 100 stamp paper) for name correction, if the person is same.	NA	<b>√</b>	NA			
9	Marriage certificate of the Nominee/Surviving holder (Only required, if the name is updated as before marriage and the transmission is to be done in the account where the name is updated after marriage).	<b>√</b>	<b>√</b>	NA			