

**LEGAL HEIR / NOMINEE TRANSMISSION REQUEST FORM (IN CASE OF DEATH OF THE SOLE HOLDER)**

Application No. \_\_\_\_\_

 Date:   /   /    

To,  
 Axis Securities Ltd.  
 Aurum Q Parc, Q2 Building, Unit No. 1001, 10th Floor,  
 Level - 6, Plot No. 4/1 TTC, Thane - Belapur Road, Ghansoli,  
 Navi Mumbai, Pin Code - 400710.

Dear Sir / Madam,

I/we, Nominee(s) / Successor/ Guardian of the successor or nominee(s) (in case the claimant is a Minor- Date of Birth of the minor\*) Relationship with the minor \_\_\_\_\_ request you to transmit the following securities due to the death of the sole account holder. Original Death Certificate / copy of Death Certificate (duly notarized / attested under seal by a Gazetted Officer) is attached herewith.

\*Please attach relevant proof

Name of the deceased BO: \_\_\_\_\_

Account Number of the deceased BO: \_\_\_\_\_

 DP ID           Client ID          

 Date of Death of the Deceased of Sole Holder   /   /    

Kindly transmit all securities in the deceased BO's account mentioned above to the BO account mentioned below.

**Details of the Successor (s)**

Sr. No.	Name of the Successor (s)/Nominee / Legal Heir/Successor to the Estate of the deceased / Administrator of the Estate of the deceased	DP ID						Client ID					
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Details of Transmission**

Sr. No.	Name of the Security	ISIN	Quantity of securities to be transmitted	Percentage

Attach an annexure duly signed by the Nominee(s)/ Successor / Guardian of the successor or nominee(s) (in case of Minor),

**Claimant Details\*:**

Name \_\_\_\_\_

Mobile No. \_\_\_\_\_

Email Id \_\_\_\_\_

Address \_\_\_\_\_

Relationship with Deceased Holder \_\_\_\_\_

**(Nominees / Successor / Guardian of successor or nominee(s) (in case of Minor)**

	Nominee (1) Successor/Guardian of successor/Nominee	Nominee (2) Successor/Guardian of successor/Nominee	Nominee (3) Successor/Guardian of successor/Nominee
Name			
Signature			


**ACKNOWLEDGEMENT RECEIPT**

Application No. \_\_\_\_\_

 Date:   

We hereby acknowledge receipt of the instructions for transmission of securities from the deceased BO's account to the account of the Nominee(s) / Successor / Guardian of the successor or nominee(s) (in case of Minor), as per details given on the transmission form.

Account number of the deceased BO \_\_\_\_\_


 DP ID  Client ID 

Successor BO Name(s)

First / Sole Holder	Second Holder	Third Holder

Documents Submitted

Subject to verification

 Depository Participants Seal & Signature
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**TRANSMISSION REQUEST FORM (IN CASE OF DEATH OF ONE / MORE OF THE JOINT HOLDERS)**

Application No. \_\_\_\_\_

 Date:   

To,  
 Axis Securities Ltd.  
 Aurum Q Parc, Q2 Building, Unit No. 1001, 10th Floor,  
 Level - 6, Plot No. 4/1 TTC, Thane - Belapur Road, Ghansoli,  
 Navi Mumbai, Pin Code - 400710.

Dear Sir / Madam,

I / We, the joint holder(s) / Successors request you to transmit the securities balance from:

 DP ID                 Client ID                

To

 DP ID                 Client ID                

Due to the death of \_\_\_\_\_

(Name of the deceased account holder(s)).

Original Death Certificate / copy of Death Certificate (duly notarized / attested under seal by a Gazetted Officer) is attached herewith.

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

**Claimant Details\*:**

Name \_\_\_\_\_

Mobile No. \_\_\_\_\_

Email Id \_\_\_\_\_

 Address \_\_\_\_\_  
 \_\_\_\_\_

Relationship with Deceased Holder \_\_\_\_\_

**ACKNOWLEDGEMENT RECEIPT**

Application No. \_\_\_\_\_

Date:   

We hereby acknowledge the receipt of the following instructions for transmission from:

DP ID                             Client ID                  

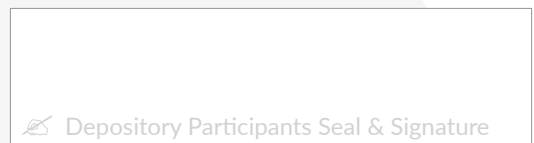
To

DP ID                              Client ID                  

Surviving Holder(s) Name(s)

First / Sole Holder	Second Holder
Documents Submitted	

Subject to verification

   
✍ Depository Participants Seal & Signature

**Please Note:**

- IPV OSV can be obtained at any of the nearest Axis Bank branch from the branch personnel
- \* Odd Lot Declaration: For transmission of securities which are held in odd numbers to be shared amongst the Legal Heirs if there are more than 1 Legal heirs
- # A separate Trade Indemnity Bond (Annexure IE) would be required if there are any transactions made in the account post the day of death for all cases
- # A separate Nominee Indemnity Bond would be required if the account was opened before 03-01-2009 & if the holding value is above greater than or equal to 15lacs

**PLEASE REFER THE LIST OF APPLICABLE DOCUMENTS REQUIRED**

Sr. No.	Type of Document	Nominee	Joint Holder	Legal Heir - Claimant (Below 15 lacs)	Legal Heir - Claimant (15 lacs or above)
1	Transmission Form – Signed by all Legal Heir/s NSDL: <a href="#">Click Here to download</a> CDSL: <a href="#">Click Here to download</a>	YES	YES	YES	YES
2	Death Certificate - Original or copy attested by a notary public or by a gazetted officer	YES	YES	YES	YES
3	Self attested Copy of PAN and Aadhaar of Claimant/s with IPV OSV*	YES	YES	YES	YES
4	CML generated from the NSDL/CDSL system, signed and stamped by the issuing Depository Participant required	YES	YES	YES	YES
5	Affidavit* - Notarized on a Rs.100 stamp paper from all the claimant/s - Should be separate for each claimant duly verified by a Magistrate / Notary & it should be in favour of Axis Securities	NO	NO	YES	YES
6	Indemnity Bond - Made on a non-judicial stamp paper of Rs.500/- from all the legal heir(s) / claimant(s) to whom the securities are transmitted duly verified by a Magistrate / Notary & it should be in the favour of Axis Securities	NO	NO	YES	YES
7	No Objection Certificate(s) - Made on a non-judicial stamp paper of Rs.100/-from all the legal heir(s) / non claimants who do not wish to claim for transmission of securities OR Copy of Family Settlement Deed duly executed by all legal heir(s), duly attested by a notary public or by a gazetted officer	NO	NO	Only From Non Claimants	Only From Non Claimants

**IF A CUSTOMER HAS ANY OF THE FOLLOWING DOCUMENTS NO INDEMNITY WOULD BE REQUIRED**

8.a	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	NO	NO	Optional	Any 1 of these documents is compulsorily required
8.b	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	NO	NO	Optional	
8.c	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	NO	NO	Optional	
8.d	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;	NO	NO	Optional	

**DEMISE REPORTING**

Date:

To,  
Axis Securities Ltd.  
Aurum Q Parc, Q2 Building, Unit No. 1001, 10th Floor,  
Level – 6, Plot No. 4/1 TTC, Thane - Belapur Road, Ghansoli,  
Navi Mumbai, Pin Code – 400710.

Dear Sir/Madam,

Sub.: Intimation of demise information.

Ref.: PAN            Client ID           Deceased date of birth


I/We regret to inform you about the demise (Name of the deceased person) \_\_\_\_\_  
having the above PAN / Account, where I/We is/are the joint holder(s) / registered nominee(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 PAN copy of claimant or any other valid ID proof 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**

Legal Heir / Joint Holder / Nominee	
Name	
PAN	
Mobile	
Email	
Address	
Relationship with Deceased holder	

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.

 Joint Holder1 / Nominee1

 Joint Holde r2 / Nominee2

 Nominee3

Encl.: Death certificate – Original downloaded or self-attested copy. PAN or other ID proof of Deceased person – by the claimant. Self-attested PAN card copy(ies) or any other valid ID proof.