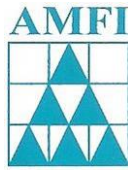


ANNEXURE B

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	Karta of HUF deceased	
		2nd or 3rd Holder deceased	1st Holder deceased			New Karta Appointed	HUF Dissolved
1	Prescribed Transmission Request Form	✓ Form T1	✓ Form T2	✓ Form T3	✓ Form T3	✓ Form T4	✓ Form T5
2	Death Certificate of deceased Unit Holder/s / Karta in original or Photocopy duly attested by a Notary Public or a Gazetted Officer.	✓	✓	✓	✓	✓	✓
3	Copy of Birth Certificate (in case the Claimant is a minor)	NA	✓	✓	✓		✓
4	KYC of the Claimant / New Karta / Guardian (in case of nominee / claimant being a minor / of unsound mind).	✓*	✓*	✓	✓	✓	✓
5	Cancelled cheque leaf with name and bank account number pre-printed OR copy of bank statement / Photocopy of Bank Passbook with current entries (not older than 3 months) attested by a Notary Public or a Gazetted Officer or Bank Manager.	✓	✓	✓	✓	✓	✓
6	Bank Attestation of Signature of the Claimant/ Guardian (in case the Claimant is a minor) by the Bank Manager as per Annexure-1 where Transmission value upto ₹200,000:	NA	NA	✓	✓		✓
7	Bank's letter certifying / attesting the signature and details of new Karta in the bank account of the HUF as per Annexure-1a	NA	NA	NA	NA	✓	NA
8	Attestation of Signature of the Claimant by a Notary Public or a Judicial Magistrate First Class, if the Transmission value in more than ₹200,000: (in the space provided in TRF)	NA	NA	✓	✓	NA	✓

*If not KYC compliant



Supporting Legal Documents

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	Karta of HUF deceased	
		2 nd or 3 rd Holder deceased	1 st Holder deceased			New Karta Appointed	HUF Dissolved
(i)#	Indemnity Bond duly signed and executed by all legal heir/s confirming the claimants (Annexure II) - duly notarised	NA	NA	NA	✓	NA	NA
(ii)	Individual Affidavit by all legal heir/s (Annexure III) - duly Notarised	NA	NA	NA	✓	NA	NA
(iii)	Transmission value upto ₹200,000:						
	Document evidencing relationship of the claimant/s with the deceased unitholder/s	NA	NA	NA	✓	NA	NA
	NOC from other Legal Heirs (Annexure – IV)	NA	NA	NA	✓	NA	NA
	Any appropriate document evidencing relationship of the new Karta and the other coparceners with the deceased Karta.	NA	NA	NA	NA	✓	NA
(iv)	Transmission value is more than ₹200,000:						
	(i) Notarised copy of the Probated Will OR	NA	NA	NA	✓	NA	NA
	(ii) Notarised copy Legal Heir certificate or Succession certificate issued by a competent court OR						
	(iii) Notarised copy Letter of Administration, in case of an intestate Succession						
	Notarized copy of – Deed of Settlement or Deed of Partition or Decree of the relevant competent Court	NA	NA	NA	NA	NA	✓
In case of no surviving co-parceners and the transmission value is more than ₹200,000 OR where there is an objection from any surviving members of the HUF	NA	NA	NA	NA	✓	NA	
(v)	Indemnity bond signed by all co-parceners including the new Karta (Annexure V)	NA	NA	NA	NA	✓	NA
(vi)	Indemnity bond signed by the Claimant, where there is no surviving co-parcener or the HUF has been dissolved/partitioned after demise of the Karta (Annexure VI)	NA	NA	NA	NA	NA	✓

In case the claimant produces any one of the documents mentioned at (iv) above, where transmission value is more than ₹ 2 Lakhs, then indemnity bond as mentioned at point no (i) would not be required

Note - All the supporting documents should be either notarized or a notarised copy duly attested by a Gazetted Officer with the Name, seal, signature and designation of the attesting official. For HUF, HUF seal to be affixed on all the documents.

Bank Attestation of Account Details & Account-holder's signature

(where aggregate value of investment under all folios is up to ₹2 lakhs)

{To be issued on the Bank's Letter Head

OR

This form itself with Bank Official's name and Employee code mentioned & Bank seal affixed in the space below }

Date: DD / MM / YYYY

TO WHOMSOEVER IT MAY CONCERN

This is to certify that Mr. / Ms. _____

is a customer of our bank, namely, _____,

Name of the bank

_____ branch

having the following Bank Account:

Account number	
A/C type <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> NRNR <input type="checkbox"/> Others (Pl. specify)	
9-Digit MICR No.	11-Digit IFSC

His/her address, as per our Bank records, is as follows:

City	PIN	State

Signature Verification by Bankers

Signature of the above customer in the box alongside, verified & validated with his/her specimen signature as per Bank's records	Signature of the client
Signature of the bank official with Bank's Seal	
Name* of the attesting Bank Official	
Designation*	
Employee Code*	
Telephone Number*	

* Mandatory

Bank Attestation of Account Details & signature of the New Karta of the HUF

{To be issued on the Bank's Letter Head

OR

This form itself with Bank Official's name and Employee code mentioned & Bank seal affixed in the space below}

Date: DD / MM / YYYY

TO WHOMSOEVER IT MAY CONCERN

This is to certify that , _____ *Name of the HUF* _____ HUF
 has the below-mentioned the Bank Account with our bank, namely, _____ *Name of the bank & branch* _____ branch

Account number	
A/C type <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (Pl. specify)	
9-Digit MICR No.	11-Digit IFSC

As per our Bank records, Mr./Ms. , _____ *Name of the Karta* _____ ,
 is the registered Karta of the abovenamed HUF and the address of the said HUF is as follows:

City	PIN	State

Signature Verification by Bankers

Signature of the abovenamed customer in the box alongside, verified & validated with his/her specimen signature as per Bank's records	Signature of the registered Karta
Signature of the bank official with Bank's Seal	
Name* of the attesting Bank Official	
Designation*	
Employee Code*	
Telephone Number*	

*mandatory

Bond of Indemnity to be furnished jointly by all Legal Heirs including the Claimant

(To be submitted on Non-judicial Stamp Paper of appropriate value)

[For Transmission of Units without production of Legal Representation on death of Sole Unit Holder or all Unit Holders in case of Joint Holding, where no nomination has been registered]

(where aggregate value of investment under all folios is up to ₹2 lakhs)

I/We do hereby solemnly affirm and state on oath as follows:

That Mr./Ms. _____ *Name of the deceased unit holder* was holding the Units in following schemes/folios :

1	Scheme Name	Folio No.	No. of units held
2			
3			
4			

That the aforesaid unit holder died *intestate* on _____, without registering any nominee/s leaving behind him/her the following persons as the only surviving legal heirs, according to the Law of Intestate Succession applicable to him/her by which he/she was governed at the time of his/her death.

1	Name of the Claimant/s	Address	Age	Relationship with the Deceased
2				
3				
4				

Therefore, I/We, the deponent/s herein has/have, approached _____ Mutual Fund with a request to transfer the aforesaid Units in the name of the undersigned Mr./Ms. _____

_____, #, on my/our behalf, without insisting on production of a Succession Certificate or the order of a competent court, for which we or any one on our behalf, execute an indemnity as is herein contained and on relying on the information herein given by us, believing the same to be true.

In consideration therefore of my/our request to transfer/transmit the above said Mutual Fund units to the name of the undersigned Mr./Ms. _____

_____, #, I/We hereby jointly and severally agree and undertake to indemnify and keep indemnified, saved, defended, harmless, the aforesaid Mutual Fund and its successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which you may suffer and/or incur by reason of your, at my/our request, transferring the said Mutual Fund units as herein above mentioned, to the undersigned Mr./Ms. _____

_____, #, without insisting on production of a Succession Certificate or an order of the court of competent jurisdiction.

IN WITNESS WHEREOF the said Mr./Ms. _____

_____, #, have hereunto set their

respective hands and seals this day of _____.

Signed and delivered by the said legal heir/s.

1	Name the Legal Heirs	Signature of the Legal Heirs
2		X
3		X
4		X

(*) = Name of the deceased unit holder (#) = Name of the claimant/s

SURETY

I/we, the undersigned Surety, certify that the above facts are true to the best of my/our knowledge and bind myself/ourselves as Surety to make good all claims, charges, costs, damages, demands, expenses and losses which the _____ Mutual Fund, its successors and assigns may sustain, incur or be liable for in consequence of complying with the request contained above of the claimant herein and the said Mutual Fund and its successors, assigns will be entitled to claim and realise all claims, charges, costs, damages, demands, expenses and losses from me or from my properties, as the case may be.

S.No	Sureties Name & Address (Mandatory)	Signature of the Surety
1.		X
2.		X

Signed before me

at: _____

on : _____

Signature of Notary / JMFC

Official stamp & seal of the Notary Magistrate/ Notary & Regn. No.:

Note: This indemnity is to be executed in the presence of a Judicial Magistrate first class OR a Public Notary

Individual Affidavits to be given by ALL the Legal Heirs

(For Transmission of Units on death of Sole Unit Holder / all Unit Holders in case of joint holding, where NO NOMINATION has been registered)

Each Deponent (legal heir) shall sign separate Affidavits.

I, _____ #
 son / daughter of _____
 residing at _____
 do hereby solemnly affirm and state on oath as follows.

That Mr./Mrs. _____ @
 ("the deceased Unitholder") held the following units in _____ Mutual Fund in his / her name as
 single holder / joint holder:

Scheme Name	Folio No.	No. of units held
1)		
2)		
3)		

That the aforesaid deceased Unitholder(s) died *intestate* leaving behind him/her, the following persons as the only surviving heirs as per the Succession Certificate* / Legal Heirship Certificate* dated _____ / according to the Law of Intestate Succession by which he/she was governed at the time of his/her death and without registering any nominee. *

OR

That the aforesaid deceased Unitholder died *testate*, leaving behind him/her, the following persons as the legatees as per the Probated Will dated _____ and without registering any nominee. *

A notarised copy of the Succession Certificate* / Legal Heirship Certificate* / Probated Will is attached herewith.

Name of the Claimant/s	Address	Age	Relation with the Deceased
1)			
2)			
3)			

That among the aforesaid legal heirs, Master / Kum. _____ aged _____ years is a minor and is being represented by Mr./Ms. _____ \$ being his / her father / mother / legal guardian.

I also indemnify the _____ Mutual Fund and its AMC and authorized Registrar through a separate Indemnity letter with third party Sureties.

Signature of the Deponent: X _____

VERIFICATION

I hereby solemnly affirm and state that what is stated herein above is true and correct. The original Death Certificate or original attested copy of the death certificate and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the abovementioned mutual fund units of the deceased.

Solemnly affirmed at _____ Signature of the Deponent: X _____

Signed before me

Place: _____

Date : _____

X -----
 Signature of Notary with Official Seal of Notary & Regn. No.

* *strikeout whichever is not applicable*

= Name of the legal heir @ = Name of the deceased unit holder \$ = Name of the Guardian

Annexure - IV

[To be submitted in non-judicial stamp paper as per the value prescribed by the respective State]

No-Objection Certificate from the Legal Heir(s)

Format of NOC from other Legal Heir(s) for Transmission of Units in favour of the Claimant wherein the Sole Holder OR all Joint Holders in the folio(s) are deceased WITHOUT REGISTERING ANY NOMINATION

DECLARATION

I/We, the legal heir(s) of late Mr. / Ms. _____ (Name of the deceased Unit Holder) declare as follows –

(i) That the abovenamed deceased Unitholder was holding Units in the following Schemes/ folios of _____ Mutual Fund in his / her name as single holder/joint holder:

Scheme Name	Folio No.	No. of units held
1)		
2)		
3)		

(ii) That the deceased had died intestate on DD / MM / Y Y Y Y and without registering any nominee.

(iii) That I / We are the legal heir(s) of the deceased unit holder, apart from the Claimant, Mr. / Ms. _____, who has applied for transmission of the aforesaid Units.

Name of the Legal Heirs	Address	Age	Relationship with the deceased
1)			
2)			
3)			

(iv) I / we hereby declare that, I / we do not desire to make any claim in respect of the title to the aforesaid Units held by the deceased and I / we hereby willfully relinquish & renounce all my /our rights in respect of the aforesaid Units and shall have no legal claim upon said Units in future.

(v) Accordingly, I / we declare that I / we have NO OBJECTION WHATSOEVER in _____ Mutual Fund transmitting the aforesaid Units in favour of Mr. / Ms. _____.

(vi) I / we hereby state that whatever is stated herein above are true to the best of my/our knowledge.

Deponent's Signature/s : 1) _____ 2) _____ 3) _____

VERIFICATION

We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the above mutual fund units.

Solemnly affirmed at _____

Deponent(s) (1) _____ (2) _____ (3) _____

Signed before me

Place _____

Date DD / MM / YYYY

Signature of Notary with Official Seal of Notary

SURETY

I/we, the undersigned Surety, certify that the above facts are true to the best of my/our knowledge and bind myself/ourselves as Surety to make good all claims, charges, costs, damages, demands, expenses and losses which the _____ Mutual Fund, its successors and assigns may sustain, incur or be liable for in consequence of complying with the request contained above of the coparceners hereinabove and the said Mutual Fund and its successors, assigns will be entitled to claim and realise all claims, charges, costs, damages, demands, expenses and losses from me or from my properties, as the case may be.

S.No.	Sureties Name & Address (Mandatory)	Signature of the Surety
1.		x
2.		x

Signed before me

Place: _____

Date : _____

Y

Signature of Notary with Official Seal of Notary

Annexure VI

Bond of Indemnity to be submitted by the Claimant on dissolution of HUF or where there are no surviving members after demise of the Karta

[To be submitted in non-judicial stamp paper as per the value prescribed by the respective State subject]

I, _____ aged _____ years, presently residing at _____ and surviving member of _____ *Name of the Hindu Undivided Family* HUF, (hereinafter referred to as "the HUF") hereby solemnly affirm and state on oath as under:

1. That the HUF has investments/units in the following schemes/folios:

Scheme Name	Folio No.	No. of Units
1)		
2)		
3)		
4)		

2. That Mr. _____ who was managing the affairs of the HUF as its the Karta, expired on _____.
3. That after the death of the abovenamed Karta, the aforesaid HUF stands dissolved, as there are no other surviving coparcener except myself * OR as the surviving members of the HUF have decided to dissolve / partition the HUF vide Settlement Deed / Partition Deed / Court Decree dated*.
4. That I have approached _____ Mutual Fund with a request to transmit the aforesaid Units / proportional units as per the Settlement Deed / Partition Deed / Court Decree dated(hereinafter referred to as "the Units" in my name, in your records for which I execute the indemnity as is herein contained and on relying on the information herein given by me believing the same to be true.
5. That I agree and undertake to provide all necessary documents as may be required by _____ Mutual Fund for processing my request as aforesaid.

In consideration therefore of _____ Mutual Fund acceding to my request to transmit the Units in the Mutual Fund folios in my name, I/We hereby jointly and severally agree and undertake to indemnify and keep indemnified, saved, defended, harmless _____ Mutual Fund, its asset management company and its successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which the mutual fund may suffer and/or incur by reason of acceding to and acting on my/our request as herein above mentioned.

I / we hereby state that whatever is stated herein above are true to the best of my/our knowledge & belief.

IN WITNESS WHEREOF, I/we have hereunto set my/our hand/s and seal/s this ____ day of _____

Signed and delivered by the within named

Name of the Claimant

.....
Signature of the Claimant

Signed before me

Place: _____

Date : _____

Signature of Notary with Official Seal of Notary