HSBC Mutual Fund

ANNEXURE-1

Simplified Grid for Documentation Requirement for Transmission of Mutual Fund Units

APPLICABILITY OF DOCUMENTATION CATEGORIES

Category	Applicability
QTP	Quick Transmission Processing — very low-value claims by immediate relatives (parents, spouse, children, parents-in-law)
Simplified	Simplified documentation cases other than QTP, within the prescribed threshold
Above Threshold	Claims exceeding the simplified documentation threshold

DOCUMENTATION GRID

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
A	**Common documents (mandatory in all cases)**			
1	Transmission request form	✓	✓	✓
2	Latest Client Master List (CML) of the claimant's demat account	✓	✓	✓
3	Verifiable death certificate of the deceased unit holder	✓	✓	✓
4	Original statement of SOA (if applicable)	✓	✓	✓
5	Copy of Birth Certificate or School leaving certificate / Passport or Aadhaar attested by guardian (in case the nominee / claimant / legal heir is a minor)	✓	✓	✓
6	KYC of the Guardian (in case of nominee / claimant being a minor / of unsound mind)	✓	✓	✓
B	**Relationship proof - applicable for "QTP"**			
7	Document evidencing relationship between the claimant and the deceased unit holder (applicable only where claimant is parent, spouse, child or parent-in-law)	✓	—	—
8	Transmission Request Form-cum-Undertaking on plain paper as per specified format	✓	—	—
C	**Indemnity and consent - applicable for "Simplified" category**			
9	Notarised indemnity bond indemnifying the RTA / listed entity / AMC as may be applicable. However, in case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Notarised indemnity bond will not be applicable.	—	✓	—
10	Notarised affidavit cum NOC from all* legal heirs, confirming identification and claim of legal ownership to the units and no objection. OR copy of family settlement deed executed by all legal heirs, duly attested by a notary public, gazetted officer, or accepted and approved by a magistrate, judge or civil court. *In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) will not be applicable.	—	✓	—
D	**Other documents - applicable for "Above Threshold" category**			
11	Notarised affidavit-cum-NOC from all* legal heirs, confirming identification and claim of legal ownership to the units and no objection. *In case the claimant submits any court issued documents viz., Succession Certificate or Probate of Will or Letter of Administration or Court Decree, the requirement of submission of Affidavit-cum-NOC from non-claimant legal heir(s) shall not be applicable.	—	—	✓

Item	Document required from claimant (duly signed / executed)	QTP	Simplified	Above Threshold
12	Any ONE of the following succession documents: Copy of Will as may be applicable in terms of Indian Succession Act,1925, along with a notarized indemnity bond from the legal heir(s) / claimant(s) to whom the units have to be transmitted, as per the format specified OR Legal Heirship Certificate or its equivalent issued by relevant authority which will mean a revenue authority not below the rank of a Tehsildar or equivalent authority, along with a notarized indemnity bond from the legal heir (s)/claimant(s) to whom the units have to be transmitted, as per specified format; OR Copy of Succession certificate or Letter of Administration or Court Decree.	—	—	✓

Note: The processing entities may, for cases above threshold for simplified documentation, seek additional documents over and above those prescribed by SEBI, if so required.

HSBC Mutual Fund

ANNEXURE-3

Transmission Request Form (For Transmission under other than QTP Category)

For Transmission of Units on death of the Sole holder / all holders)

Tick the boxes ☑ wherever applicable and fill in the details legibly.

Date: D D M M Y Y Y Y

To:
HSBC Mutual Fund

PART A – CLAIMANT AND DECEASED HOLDER INFORMATION

Folio No.	
Deceased Holder Name:	
Claimant Name	
Claimant PAN / PEKRN (Mention only number)	

PART B – DETAILS OF SECURITIES

I / We, the Nominee / Legal Heir / Claimant of the above referred deceased investor(s), hereby inform you about the demise of the above-mentioned unit holder(s) and request you to transmit the units held by the deceased unit holder(s) as listed below in my / our favor in my / our capacity as

☐ Nominee(s)
☐ Legal Heir
☐ Successor to the Estate of the deceased
☐ Administrator of the Estate of the deceased

S. No.	Scheme Name	Folio No.	No. of Units Held
1			
2			
3			

HSBC Mutual Fund

ACKNOWLEDGEMENT SLIP (To be filled in by the Applicant)

Request submitted for: ☐ **Transmission Request Form (For Transmission under other than QTP Category)**

From ______________________________

Folio No. ______________________________

Stamp & Signature

Subject to further verification and furnishing of mandatory information / documents. Please retain this slip until processed

PART C – OTHER INFORMATION ABOUT NOMINEE / LEGAL HEIR / CLAIMANT (APPLICABLE ONLY FOR TRANSMISSION OF UNITS HELD IN SOA)

☐ KYC Acknowledgment attached ☐ KYC form attached

Tax Status:

☐ Resident Individual ☐ Resident Minor (through Guardian) ☐ NRI PIO / OCI ☐ Others ________________ (please specify)

CONTACT DETAILS

Contact details of the Nominee / Legal Heir / Claimant

Mobile No. + 9 1	Tel. (STD)
Above Mobile belongs to : ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter	
Email Address:	*Email ID to be filled in CAPITAL LETTERS*
Above Email belongs to : ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter	

Address *(*Please note that address will be updated as per claimant's address on KYC form / KYC Registration Agency records)

Address Line 1		
Address Line 2		
City	State	PIN

Overseas address *(Mandatory of NRI)*

Address Line 1	
Address Line 2	
City	State
Country (Mandatory)	Zip Code

Bank Account Details of the Nominee / Legal Heir / Claimant

Bank Name	
Account number	11 Digit IFSC Code
A/c Type (Pls ✓) : ☐ Savings ☐ Current ☐ NRE ☐ NRO ☐ FCNR	9 Digit MICR Code
Name of Bank and Branch	
City	Pin

Please attach & tick ✓ any one of the following to validate your bank details :

☐ Cancelled cheque with claimant's name pre-printed OR

☐ Claimant's Bank Statement / Passbook with claimant's name pre-printed

Also request you to pay the UNCLAIMED amounts, if any, in respect of the deceased unitholder(s) to me by direct credit to the bank account mentioned above.

FATCA and CRS details

Country of Birth: ________________ Place of Birth: ________________

Nationality ________________

Are you a tax resident of any country other than India? ☐ Yes ☐ No.

If Yes, please mention all the countries in which you are resident for tax purposes and the associated Taxpayer Identification Number and its identification type in the column below:

Country	Tax-Payer Identification Number	Identification Type

Additional KYC details Holder no. 1 (Please tick ✓)

Occupation Details

☐ Private Sector Service ☐ Public Sector Service ☐ Government Service ☐ Business ☐ Professional
☐ Agriculturist ☐ Retired ☐ Home Maker ☐ Student ☐ Forex Dealer
☐ Others *Please specify* ______________________________

The claimant is ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person ☐ Neither (not applicable)

Gross Annual Income (₹) ☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs - 1 crore ☐ >1 crore

Nomination@ (Please ✓ one of the options below)

☐ I/We **DO NOT** wish to make a nomination. *(Mandatory to tick ✓ if you do not wish to nominate anyone)*

☐ I/We wish to make a nomination and I/We do hereby nominate the person more particularly described hereunder to receive the Units held my/our folio in the event of my/our death *(Fill the separate nomination form)*.

PART D – CONSENT BY OTHER NOMINEE(S) TO BE ADDED AS JOINT HOLDER(S) (APPLICABLE ONLY IN CASE OF CLAIMS SUBMITTED BY NOMINEE)

Other nominee(s) nominated by the deceased holder in the above referred folio(s) as listed below hereby consent to transmit the units with me as the first holder and add other nominee(s) as Joint Holder(s) in the new transmitted folio.

Name of the Nominee(s) to be added as joint holder	PAN / PEKN	KYC Compliance*

*if KYC not compliance / not done, KYC form with relevant supporting documents to be submitted.

I / We hereby provide my / our consent to add me / us as Joint Holder in the new transmission folio where claimant would be the first holder.

Name of the Nominee(s) to be added as joint holder	Signature
	✕
	✕

PART E – DECLARATION AND RESPONSIBILITY CLAUSE

I / We confirm that the above documents have been submitted and that the information, facts, and particulars furnished by me / us in this undertaking and the accompanying documents are true, correct, and complete to the best of my / our knowledge and belief, and no material information / fact has been concealed or misrepresented therein.

I / We further undertake and confirm that in the event any information, declaration, or document furnished by me / us herein is subsequently found to be false, incorrect, incomplete, forged, or fraudulent, the responsibility and liability for resolving the resultant discrepancy, dispute, or claim – including any consequential loss, cost, or legal action – shall rest solely and exclusively with me / us, the claimant(s), and I / We shall keep the Company / AMC / RTA / Depository Participant fully indemnified and harmless against any loss, claim, demand, or liability arising directly or indirectly therefrom. I / We also knowledge to share the above demise information to the regulatory authorities or statutory authorities or to the entities entrusted by the regulatory / statutory authorities from time to time.

If the claimant affixes thumb impression , the thumb impression should be notarised by notary public. Incase of medical reason additionally enclose doctor's certificate

Place ________________

Signature/Thumb impression Claimant ✕

Date ________________

Signed before me

At : ________________

On : ________________

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

Note: Where any person required to sign this document is unable to sign, he / she may affix his / her left thumb impression in lieu of signature.

Documents checklist to be annexed along with the transmission request form.

S. No.	Document	Submitted	Remarks
1	Original Transmission Request Form (duly filled and signed)	☐	
2	**Self-attested** copy of Verifiable Death Certificate of the deceased holder	☐	
3	Original Statement of Account (if applicable).	☐	
4	If claimant is a minor - Birth Certificate or School leaving certificate / Passport or last four digits of Aadhaar (where the date of birth is available – **Attested by the Guardian** (Natural or Legal).	☐	

S. No.	Document	Submitted	Remarks
5	KYC of Guardian (if claimant is a minor or of unsound mind).	☐	
6	Nomination Form or Nomination Opt-Out form	☐	
7	FATCA-CRS Declaration in a prescribed format	☐	
8	Signature of the Nominee / Claimant shall be attested only by a Notary Public or a Judicial Magistrate First Class (JMFC) in lieu of banker's attestation (applicable only for transmission of units held in SOA)	☐	
9	Notarised indemnity bond indemnifying the RTA / listed entity / AMC as may be applicable	☐	
10	Notarised affidavit cum NOC from all legal heirs, confirming identification and claim of legal ownership to the units and no objection OR Copy of family settlement deed executed by all legal heirs, duly attested by a notary public, gazetted officer, or accepted and approved by a magistrate, judge or civil court.	☐	
11	Notarised affidavit cum NOC from all legal heirs, confirming identification and claim of legal ownership to the units and no objection	☐	
12	Any ONE of the following succession documents: Copy of Will as may be applicable in terms of Indian Succession Act,1925, along with a notarized indemnity bond from the legal heir(s) / claimant(s) to whom the units have to be transmitted OR Legal Heirship Certificate or its equivalent issued by relevant authority which will mean a revenue authority not below the rank of a Tehsildar or equivalent authority, along with a notarized indemnity bond from the legal heir (s) / claimant(s) to whom the units have to be transmitted; OR Copy of Succession certificate or Letter of Administration or Court Decree.	☐ ☐ ☐	

Note:

1. For claim submitted by nominee, only documents specified at serial no. 1-9 shall be submitted.
2. For claim submitted by legal heir(s) / claimant(s) under "Simplified" category, documentsspecified at serial no. 1-11, as applicable, shall be submitted.
3. For claim submitted by legal heir(s) / claimant(s) under "Above Threshold" category, documentsspecified at serial no. 1-9, 12 and 13, as applicable, shall be submitted.

HSBC Mutual Fund

Form for Fresh Nomination / Change of Existing Nomination / Cancellation of Nomination

Applicable for Individual Unitholders only (effective from September 1, 2026). Please read the instructions carefully before filling up this Form.

This nomination shall supersede any prior nomination made by the investor(s), if any.

Date : D D M M Y Y Y Y

Fresh Nomination – All unit holders need to sign (irrespective of mode of holding).	**Change of Existing Nomination / Cancellation of Nomination**
☐ Fresh Nomination	☐ Change of Existing Nomination ☐ Cancellation of Nomination

Folio No.(s) (having same mode of holding and pattern)	
1.	**2.**
3.	**4.**

Investor Name (Mr./Ms.) ____________________

Nomination can be made upto 3 nominees in the account.	**Mandatory Details**		
	1st Nominee	**2nd Nominee**	**3rd Nominee**
1 I / We wish to make a nomination and do hereby nominate the following person(s) in the above specified folio(s) who shall receive all the assets held in my / our account in the event of my / our death. **This nomination shall supersede any prior nomination made by us / me if any.**			
Name of the Nominee (Mr. / Ms.)			
Relationship with the Applicant *(select one)*	☐ Spouse ☐ Father ☐ Mother ☐ Son ☐ Daughter ☐ Others *(Pls specify)* ______	☐ Spouse ☐ Father ☐ Mother ☐ Son ☐ Daughter ☐ Others *(Pls specify)* ______	☐ Spouse ☐ Father ☐ Mother ☐ Son ☐ Daughter ☐ Others *(Pls specify)* ______
Date of Birth *(to be provided in case the nominee is a minor)*	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
2 I want the following nomination details to be printed in the account / holding statements (tick one of the boxes below): ☐ Name of the Nominee(s) ☐ Whether nomination given: Yes / No (not name of the nominee)			
3	**Optional Details of Nomination**		
% Share of each nominee** *(equal share if % not specified)*	%	%	%
Mobile No. of Nominee(s) / Guardian***			
	(Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)		
Email ID of Nominee / Guardian***			
	(Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)		
Nominee / Guardian of Minor Nominee Personal identifier document [Please tick any one of the following and provide ID Number and no copies required].	☐ PAN ☐ Aadhaar (masked – only last 4 digits visible) X X X X X X X ☐ Passport (for NRIs / OCIs / PIOs) ☐ Driving License	☐ PAN ☐ Aadhaar (masked – only last 4 digits visible) X X X X X X X ☐ Passport (for NRIs / OCIs / PIOs) ☐ Driving License	☐ PAN ☐ Aadhaar (masked – only last 4 digits visible) X X X X X X X ☐ Passport (for NRIs / OCIs / PIOs) ☐ Driving License
Address of Nominee(s)/ Guardian in case of Minor	☐ Same as First Applicant City ______ Pin code ______ State ______ Country ______	☐ Same as First Applicant City ______ Pin code ______ State ______ Country ______	☐ Same as First Applicant City ______ Pin code ______ State ______ Country ______
Name of the Guardian *(in case Nominee is Minor)*			
Guardian's Relationship with Nominee	☐ Father ☐ Mother ☐ Legal Guardian	☐ Father ☐ Mother ☐ Legal Guardian	☐ Father ☐ Mother ☐ Legal Guardian

** Any odd lot after division shall be transferred to the first nominee mentioned in the form.
*** The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.

HSBC Mutual Fund

ACKNOWLEDGEMENT SLIP (To be filled in by the Applicant)

Request submitted for: ☐ **Fresh Nomination** ☐ **Change of Existing Nomination** ☐ **Cancellation of Nomination**

From ____________________

Folio No. ____________________

Subject to further verification and furnishing of mandatory information / documents. Please retain this slip until processed

ISC Stamp & Signature

4 Signature(s)

I/We have read the terms and conditions for nomination and hereby nominate the above nominee(s) to receive all the amounts to my/our credits in the event of my/our death. Signature of the nominee(s) acknowledging receipt of my/our credit will constitute full discharge of liabilities in HSBC Mutual Fund.

Name of the Holder		Signature/Thumb Impression
Sole/First Holder (Mr./Ms.)	**Name**	**Signature/Thumb^ Impression**
	Witness 1 Name & Address:	**Witness 1 Signature:**
	Witness 2 Name & Address:	**Witness 2 Signature:**
Second Holder (Mr./Ms.)	**Name**	**Signature/Thumb^ Impression**
	Witness 1 Name & Address:	**Witness 1 Signature:**
	Witness 2 Name & Address:	**Witness 2 Signature:**
Third Holder (Mr./Ms.)	**Name**	**Signature/Thumb^ Impression**
	Witness 1 Name & Address:	**Witness 1 Signature:**
	Witness 2 Name & Address:	**Witness 2 Signature:**

^ *Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.*

Notes:

- Investor have the right to receive acknowledgement of the nomination form for each instance of nomination/subsequent change. The consent of all the joint-holders shall be required for providing or changing nominee regardless of mode of holding.
- In case of multiple nominees, upon the demise of the investor, the nominees may either continue in the same account/folio or open separate account/folio, for their respective holding.
- wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.
- **If the account holder affixes thumb impression instead of signature, additionally please provide a doctors certificate and the thumb impression should be notarised.**

INSTRUCTIONS

1. For all single holding accounts/folios investor shall mandatorily provide nomination, unless declaration form for 'opt-out' is submitted.
2. The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly. Nomination will be optional for jointly held demat account/folios.
3. You can make nomination or change nominee any number of times without any restriction. The consent of all the joint-holders shall be required for providing or changing nominee regardless of mode of holding.
4. You are entitled to receive an acknowledgement from the AMC/DP for each instance of providing or changing nomination.
5. Non-individuals including a Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu undivided family, a Power of Attorney holder and/or Guardian of Minor unitholder cannot nominate.
6. Nomination is not allowed in a folio where Minor is the unitholder.
7. A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee is to be provided.
8. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
9. The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family, or a Power of Attorney holder.
10. A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
11. The investors shall have an option to submit the nomination either online or offline.
12. **Multiple Nominees:** Nomination can be made in favour of multiple nominees, subject to a maximum of three nominees. In case of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals, adding upto a total of 100%. If the percentage of allocation/share for each of the nominee is not mentioned, the allocation/claim settlement shall be made equally amongst all the nominees. Any odd lot after division shall be assigned/transferred to the first nominee mentioned in the form.
13. In case of multiple nominees, upon the demise of the investor, the nominees may either continue in the same account/folio or open separate account/folio, for their respective holding.
14. Every new nomination for a folio/account shall overwrite the existing nomination, if any.
15. Nomination made by a unit holder shall be applicable for units held in all the schemes under the respective folio/account.
16. Nomination shall stand rescinded upon the transfer of units.
17. Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/Mutual Fund/Trustees against the legal heir(s).
18. The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC.
19. In respect of folios/accounts where the Nomination has been registered, the AMC will not entertain any request for transmission/claim settlement from any person other than the registered nominee(s), unless so directed by any competent court.
20. Where Nominee details and Nomination Opt-Out both are mentioned, Nomination Opt-Out will be considered as "Default". Folio in such case will be updated without Nominee.

Transmission aspects

- 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/folio.
- In case all your nominees do not claim the assets from the AMC/DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- 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 AMC/DP.
- **Death of Nominee/s:** In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, the said nominee's share will be distributed on pro-rata basis (as illustrated below) amongst the surviving nominees. Nominee's legal heir cannot claim the assets on behalf of deceased Nominee(s).

CALL US AT

Please visit our website www.assetmanagement.hsbc.co.in for an updated list of Official Points of Acceptance of HSBC Mutual Fund. Please visit www.camsonline.com for an updated list of Official Points of Acceptance of our Registrar/Transfer Agent : Computer Age Management Services.

TOLL FREE NUMBERS

Description	Investor related queries	Distributor related queries	Online related queries	Investor (Dialing from abroad)
Toll Free Number	1800-4190-200/1800-200-2434	1800-419-9800	1800-4190-200/1800-200-2434	+91 44 39923900
Email ID	investor.line@mutualfunds.hsbc.co.in	partner.line@mutualfunds.hsbc.co.in	onlinemf@mutualfunds.hsbc.co.in	investor.line@mutualfunds.hsbc.co.in

VSTS Corporation Aug.'26

STAMP DUTY CHARGES FOR VARIOUS STATES IN INDIA

As on October 15, 2024

S. No.	Name of the State	Indemnity Bond (IB) for Transmission	Affidavit (A) for Transmission
1	Gujrat	300	50
2	Karnataka	500	100
3	West Bengal	50	10
4	Tamil Nadu	80	20
5	Maharashtra #	500	500
6	Delhi	100	10
7	Rajasthan	200	50
8	Uttar Pradesh	100	10
9	Telangana	5	5
10	Kerala	500	50
11	Punjab & Haryana	5	15
12	Madhya Pradesh	1000	50
13	Jammu & Kashmir	500	10
14	Andhra Pradesh	5	5
15	Chhattisgarh	250	5

states not part of the above list to follow Maharashtra stamp value .

HSBC Mutual Fund

ANNEXURE-4

To be executed in the presence of a Notary Public / Judicial Magistrate First Class (JMFC) / Gazetted Officer

BOND OF INDEMNITY

For Transmission of Mutual Fund Units upon demise of Sole Holder / All Holders who died without registering a Nominee

To be furnished jointly or severally, as may be applicable, by all Legal Heir(s), including the Claimant(s)

To be submitted on Non-Judicial Stamp Paper of appropriate value, as applicable in the relevant State where the claimant resides

☐ Physical mode / Statement of Account (SOA)

PART A – DETAILS OF HOLDING

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

That Mr. / Mrs. ____________________ ("Name of the deceased unit holder") was the sole holder of the following mutual fund units:

S. No.	Scheme Name	Folio No.	No. of Units Held
1			
2			
3			
4			

PART B – BASIS OF SUCCESSION & DETAILS OF LEGAL HEIR(S)

That the aforesaid deceased holder died on ____________________, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of:

☐ Intestate succession by which the deceased was governed at the time of his/herdeath.

☐ Testamentary succession – i.e., under a Will of the deceased.

(Please tick one of above checkboxes, as applicable)

Name of Legal Heir(s) / Claimant(s)*	Address & Contact Details	Age	Relation with the Deceased

*If any of the Legal Heir(s) other than claimant has expired, verifiable death certificateshould be submitted for such deceased Legal Heir(s) also.

PART C – REQUEST & INDEMNITY

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein, have approached HSBC Mutual Fund with a request to transfer/transmit the aforesaid units in the name of the undersigned Mr./Ms. ______________________________ ______________________________ [Name(s) of the legal heir(s)/claimant(s)] (#), on my/our behalf, without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court Order, for which we execute this indemnity as herein contained, relying on the information given by us and believing the same to be true.

In consideration of my/our request to transfer/transmit the above-said units to the name of the undersigned legal heir(s)/ claimant(s) named above (#), I/We hereby jointly and severally agree and undertake to indemnify and keep indemnified, saved, defended and held harmless the said Listed Company/Issuer/AMC and its RTA/Depository Participant/Depository, and their respective successors and assigns, at all times hereafter, against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, and liabilities whatsoever, which they may suffer and/or incur by reason of transferring/transmitting the said units as aforesaid, at my/our request, to the undersigned legal heir(s)/claimant(s), without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court Order (of competent jurisdiction).

This indemnity shall be binding on me/us, our respective heirs, executors, administrators, and legal representatives, and shall remain in full force and effect irrespective of whether the asset transmitted is a security or a mutual fund unit, or both.

I/We declare that, to the best of my/our knowledge and belief, there is no pending dispute, litigation or competing claim amongst the legal heir(s) and claimant(s) in relation to the aforesaid units or the succession thereof.

PART D – EXECUTION

IN WITNESS WHEREOF the said

1) Mr./Ms. Name: ______________________________ Signature: ____________________

(Name & signature of witness),

2) Mr./Ms. Name: ______________________________ Signature: ____________________

(Name & signature of witness),

have hereunto set their respective hands and seals this ____________ day of ____________________. Signed and delivered by the said legal heir(s).

Name of the Legal Heir(s) / Claimant(s)	Signature of the Legal Heir(s) / Claimant(s)
1.	×
2.	×
3.	×

Note: Where any person required to sign this document is unable to sign, he/she may affix his/her left thumb impression in lieu of signature.

PART E – ATTESTATION BY NOTARY

Signed before me,

At: ______________________________

On (date): ______________________________

Official Stamp, Seal & Registration No. of Notary:	× **Signature of Notary**

HSBC Mutual Fund

ANNEXURE-5

To be executed on Non-Judicial Stamp Paper of appropriate value (as applicable in the relevant State where the claimant resides) and notarized/attested by a Gazetted Officer/Judicial Magistrate First Class (JMFC)

AFFIDAVIT-CUM-NO OBJECTION DECLARATION

For Transmission of Mutual Fund Units upon demise of Sole Holder/All Holders who died without registering a Nominee

To be furnished jointly or severally, as may be applicable, by the Claimant(s) and all Non-Claimant Legal Heir(s)

☐ Physical mode/Statement of Account (SOA)

PART A – DEPONENT(S)

I/We ____ ,

Son(s)/daughter(s)/legal heir(s) of Late Mr./Mrs. ______________________________

residing at ______________________________________ , do hereby solemnly affirm and state on oath as under:

PART B – DECLARATIONS

1. The above-mentioned deceased holder held the mutual fund units described in Part C inhis/her name as the sole holder.
2. The deceased holder died on ______________________ without registering any nominee.
3. Basis of succession (applicable only for cases above threshold category):

   ☐ Succession Certificate ☐ Probate of Will ☐ Will
   ☐ Letter of Administration ☐ Legal Heirship Certificate ☐ Court Decree
   ☐ Law of Intestate Succession
4. A copy of the applicable document referred to above is enclosed herewith.
5. The persons named in Part D are the only legal heir(s)/legatee(s) of the deceased.
6. Where any legal heir named herein is a minor, such minor is represented by his/her natural/legal guardian.
7. The claimant(s) named in Part E have applied for transmission of the said mutual fund unitsin their favour.
8. I/We declare that, to the best of my/our knowledge and belief, there is no pending dispute,litigation or competing claim amongst the legal heir(s) and claimant(s) in relation to theaforesaid mutual fund units or the succession thereof.
9. I/We, being the non-claimant legal heir(s) named in Part D and do hereby voluntarily andunconditionally relinquish and renounce all rights, title, interest, and claim, present orfuture, in the said mutual fund units in favor of the claimant(s) and shall have no claimwhatsoever thereto at any time hereafter.
10. I/We have no objection whatsoever to the transmission of the said mutual fund units in favorof the claimant(s) named herein, and consent to such transmission being effected by theListed Company/Issuer/AMC/RTA/Depository Participant/ Depository.
11. I/We declare that the statements made herein, and the documents enclosed herewith, aretrue and correct to the best of my/ our knowledge and belief, and that nothing material hasbeen concealed or misrepresented. I/We shall be solely responsible for resolving anyissue, dispute, or claim that may arise should any statement or document furnished hereinbe found to be false, incorrect, or incomplete, and shall keep the Listed Company/Issuer/AMC/RTA/Depository Participant/Depository fully indemnified against any loss orliability arising therefrom.

PART C – DETAILS OF MUTUAL FUND UNITS

S. No.	Scheme Name	Folio No.	No. of Units Held
1			
2			
3			
4			

PART D – DETAILS OF LEGAL HEIRS (INCLUDING NON-CLAIMANTS)

Name of the Legal Heir(s)	Address & Contact Details	Age	Relation with the Deceased

PART E – DETAILS OF CLAIMANT(S)

Name of the Climant	Address & Contact Details	Age	Relation with the Deceased

PART F – VERIFICATION

I/We solemnly affirm and verify that the statements made in the foregoing paragraphs are true and correct to the best of my/our knowledge and belief, and that nothing material has been concealed therefrom. I/We declare that I am/we are competent to contract and am/are entitled to the rights and benefits relating to the aforesaid mutual fund units.

Place: ______________________

Date: ______________________

Signature(s) of Claimant(s):		
X	X	X

Signature(s) of Non-Claimant Legal Heir(s):**		
X	X	X

** The signatures of non-claimant legal heir(s) are required only where the claimant has not furnished a Succession Certificate, Probate of Will (where applicable and available), Letter of Administration or Court Decree. Where any such court-issued document is furnished, this instrument shall operate as an affidavit of the named legal heir(s)/claimant(s) alone, and no NOC or signature from non-claimant legal heir(s) shall be required.

Note: Where any person required to sign this document is unable to sign, he/she may affix his/her left thumb impression in lieu of signature.

ATTESTATION

Signed before me, by above signatories, identity/(ies) of whom has/have been verified.

At: ______________________

On (date): ______________________

X

Signature and Seal of Notary / Gazetted Officer

Registration No. (if Notary): ______________________