

SOLE HOLDER / ALL JOINT HOLDERS DECEASED & NOMINATION HAS BEEN REGISTERED

TRANSMISSION DOCUMENTS MATRIX - READY RECKONER

S. No.	Documents required for Transmission	Transmission to Surviving Holders		Sole Holder / All Joint holders deceased & Nomination has been registered	Sole Holder / All Joint holders deceased & NO Nomination 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 or photocopy self-attested by the nominee(s) / claimant(s) / legal heir(s) subject to verification with original by AMC branches.	✓	✓	✓	✓	✓	✓
3.	Copy of Birth Certificate (in case the claimant is a minor)	NA	NA	✓	✓	NA	✓
4.	Self-attested copy of PAN of the claimant/ new Karta/ Guardian	✓*	✓*	✓	✓	✓	✓
5.	KYC of the Claimant / New Karta / Guardian (in case of nominee / claimant being a minor / of unsound mind).	✓**	✓**	✓	✓	✓	✓
6.	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.	✓	✓	✓	✓	✓	✓
7.	Bank Attestation of Signature of the Claimant/ Guardian (in case the Claimant is a minor) by the Bank Manager as per Annexure-I where Transmission value upto ₹500,000	NA	NA	✓	✓	NA	✓
8.	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
9.	Attestation of Signature of the Claimant by a Notary Public or a Judicial Magistrate First Class (in the space provided in TRF) if the Transmission value in more than ₹500,000	NA	NA	✓	✓	NA	✓

*If PAN not submitted previously **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	
		2nd or 3rd Holder deceased	1st 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)	For Transmission value upto ₹500,000:						
	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		✓	
	<i>Note: If the value at PAN level is upto ₹5 lakh, a notarized indemnity bond from the legal heir(s) / claimant(s) to whom the securities are to be transmitted, in the specified format is required. However, No Objection certificate from all non-claimants shall be required only where there are multiple beneficiaries as per the Registered Will, but all of them have renounced their claim and have no objection to the applicant (claimant) making the claim for transmission of Units. In such cases, the PAN/any OVD of such other legal heirs may also be obtained along with the NOC duly attested by a notary public or by a gazetted officer as per the specified format.</i>						
(iv)	Where Transmission value is more than ₹ 500,000 but upto ₹10,00,000**:						
	a) Notarised copy of the Probated or Registered Will. In case of Registered Will, the same shall be accompanied with a notarised Indemnity bond from the claimant (i.e., appropriate beneficiary of the Will) OR b) Legal Heirship Certificate or its equivalent, along with – 1) a notarized indemnity bond from the legal heir(s) / claimant(s) to whom the securities are transmitted, as per the format specified provided; and 2) No Objection Certificate from all the non- claimants (remaining legal heirs), duly attested by a notary public or by a gazetted officer as per the format provided.	NA	NA	NA	✓	NA	NA

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	
		2nd or 3rd Holder deceased	1st Holder deceased			New Karta Appointed	HUF Dissolved
	Where transmission value at the PAN-level is more than ₹10 lakhs, any one of the documents mentioned below :						
	a) Notarised copy of Probated Will; OR b) Succession Certificate issued by a competent court, OR c) Letter of Administration or court decree, in case of Intestate Succession. <i>Note: In the above three scenarios, Indemnity Bond as mentioned at point no (i) is not required.</i>	NA	NA	NA	✓	NA	NA
	For change of Karta of HUF or Dissolution of HUF						
(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	✓
	<i>Note: Notarized copy of Decree of the relevant competent Court or Deed of Settlement or Deed of Partition. In case of no surviving co-parceners and the transmission value is more than ₹500,000 or where there is an objection from any surviving members of the HUF.</i>						

Request for Transmission of Units by Nominee or Legal Heir
(For Transmission of Units on death of the Sole holder / all Joint Holders)

 Date:

To:

The Trustees,

_____ Mutual Fund

Name of the Claimant : Mr./Ms.	
Name of the Guardian ← in case the claimant is a minor → Date of Birth of the minor*	<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"/>
Mr./Ms. _____	
Relationship with Minor: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Court Appointed Guardian*	
PAN (Claimant/Guardian): <input type="text"/>	<input type="checkbox"/> KYC Acknowledgment attached <input type="checkbox"/> KYC form attached
Tax Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Resident Minor (through Guardian) <input type="checkbox"/> NRI <input type="checkbox"/> PIO <input type="checkbox"/> Others (please specify) _____	

*Please attach relevant proof

I, the claimant named hereinabove, hereby inform you about the demise of the below mentioned unitholder(s) and request you to transmit the Units held by the deceased unitholder(s) in my favour in my capacity as –

 Nominee Legal Heir Successor to the Estate of the deceased Administrator of the Estate of the deceased

S.No.	Name(s) of the Deceased Unitholder(s)	Id. Proof attached**	Date of demise**
1	Mr./Ms.		DD/MM/YYYY
2	Mr./Ms.		DD/MM/YYYY
3	Mr./Ms.		DD/MM/YYYY

*Please attach certified copy of (i) Death Certificate and (ii) Id. proof such as PAN / Aadhaar / Passport/ Voter Id. (any one)

Scheme(s) & Folio(s) in respect of which Transmission of Units is being requested

S.No.	Scheme Name	Folio No.	No. of units	% of Claim@
1				
2				
3				
4				
5				

@As per Nomination OR as per the Will/Probate/Succession Certificate/ Court order, if applicable.

Contact details of the Claimant

Mobile No.: + 9 1 <input type="text"/>	Tel. No.: <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/>
Email Address: _____	

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

Address Line 1		
Address Line 2		
City	State	PIN <input type="text"/>

Bank Account Details of the Claimant

Bank Name	
Account No. : <input type="text"/>	IFSC Code (11 Digit): <input type="text"/>
A/c Type (Pls ✓): <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> FCNR	MICR Code (9 Digit): <input type="text"/>
Name of bank branch	
City:	Pin <input type="text"/>

 Please attach & tick ✓ Cancelled cheque with claimant's name printed OR Claimant's Bank Statement/Passbook

I 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.

Additional KYC information (Please tick ✓ whichever is applicable)

Occupation Details	
<input type="checkbox"/> Private Sector Service	<input type="checkbox"/> Public Sector Service
<input type="checkbox"/> Government Service	<input type="checkbox"/> Business
<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist
<input type="checkbox"/> Retired	<input type="checkbox"/> Home Maker
<input type="checkbox"/> Student	<input type="checkbox"/> Forex Dealer
<input type="checkbox"/> Others (Please specify) _____	
The Claimant is <input type="checkbox"/> a Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person <input type="checkbox"/> Neither (not applicable)	
Gross Annual Income (₹) <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs-1crore <input type="checkbox"/> >1 crore	

FATCA and CRS information

Country of Birth: _____	Place of Birth: _____	Nationality: _____
Are you a tax resident of any country other than India? <input type="checkbox"/> Yes <input type="checkbox"/> 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

Nomination (Please ✓ one of the options below)

I/We **DO NOT** wish to make a nomination. (Mandatory to tick ✓ if the claimant does not wish to nominate anyone)

I/We wish to make a nomination and hereby nominate the person/s more particularly described hereunder to receive the Units held my/our folio in the event of my / our death.

Nominee's Name	Guardian's Name*	PAN of Nominee/ Guardian*	Date of Birth of Nominee*	Allocation (%)	Signature of Nominee/ Guardian*
Nominee 1					
Nominee 2					
Nominee 3					

@ Guardian of a minor cannot make a nomination

(* in case the Nominee is a Minor)

Declaration and Signature of Claimant/s

- I have attached herewith all the relevant / required documents as indicated in the attached Ready Reckoner.
- I confirm that the information provided above is true and correct to the best of my knowledge and belief.
- I undertake to keep _____ Mutual Fund / its AMC/RTA informed about any changes/ modification to the above information in future and also undertake to provide any other additional information as may be required by the AMC / RTAs.
- I hereby authorize _____ Mutual Fund and its AMC/RTA to share/disclose any of the information provided by me/us, including any changes in respect thereof to the Mutual Fund's Bankers or my Distributor / Investment Advisor and to such other service providers as may be necessary for any operational reason, including to verify/validate my / our bank account details. I / We also authorize the Mutual Fund & its AMC/RTA to provide/ share any of the information provided by me/us including my holdings in the Mutual Fund to any governmental or statutory or judicial authorities/agencies as required by law without any obligation of informing me/us of the same.

Place _____	Signature of Claimant x
Date _____	
Signed before me	
At : _____	Signature of Notary / JMFC Official stamp & seal of the Notary Magistrate/ Notary & Regn. No.
On : _____	

Note: This form is to be signed in the presence of a Judicial Magistrate First Class (JMFC) OR a Public Notary if the aggregate value of the Units being transmitted is more than ₹5 lakhs

Documents Attached:

- | | |
|---|--|
| <input type="checkbox"/> Copy of Death Certificate of the deceased unitholder | <input type="checkbox"/> Copy of Birth Certificate (in case the Claimant is a minor) |
| <input type="checkbox"/> Copy of PAN Card of Claimant / Guardian | <input type="checkbox"/> KYC Acknowledgment OR <input type="checkbox"/> KYC form of Claimant |
| <input type="checkbox"/> Cancelled cheque with claimant's name printed | <input type="checkbox"/> Claimant's Bank Statement/Passbook |
| <input type="checkbox"/> Annexure-I - Bank Attestation of signature & bank A/c. | <input type="checkbox"/> Annexure-II - Bond of Indemnity furnished by Legal Heirs |
| <input type="checkbox"/> Annexure-III - Affidavits of EACH Legal Heir | <input type="checkbox"/> Annexure - IV - NOC from other Legal Heirs |
| <input type="checkbox"/> Annexure-IV - Indemnity from coparceners for change of Karta | <input type="checkbox"/> Copy of PAN card or OVD of the deceased unitholder |

FORM FOR FRESH NOMINATION / CHANGE OF EXISTING NOMINATION

Applicable for Individual Unitholders only - whether holding Units Singly or Jointly with other holders

Please read the instructions carefully before filling up this form

Name of 1st Holder _____

Name of 2nd Holder _____

Name of 3rd Holder _____

I/We, the above-named investors of _____ Mutual Fund, do hereby nominate the person(s) more particularly described hereunder to receive the Units held my/our Folio/s listed below in the event of my / our death by cancelling the nomination(s) made by me / us previously in respect of the units held by me/ us in the Folio/s listed below.

(tick whichever is applicable).

S.No.	Folio No. / Application No.
1	
2	
3	
4	

Name of the 1st Nominee* : _____	% of Allocation* : _____
PAN of the Nominee [§] : <input style="width: 100px; border: 1px solid black;" type="text"/>	Date of Birth of Nominee** : <input style="width: 100px; border: 1px solid black;" type="text"/>
Nominee Relationship* : _____	
Name of the Guardian **: _____	PAN of Nominee Guardian [§] : <input style="width: 100px; border: 1px solid black;" type="text"/>
Guardian's Relationship with Nominee** : <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	
Proof of relationship [§] : <input type="checkbox"/> Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others	
Address [§] : _____	
City : _____	State : _____ PIN <input style="width: 50px; border: 1px solid black;" type="text"/>
Nominee Signature [§] : x	

Name of the 2nd Nominee* : _____	% of Allocation* : _____
PAN of the Nominee [§] : <input style="width: 100px; border: 1px solid black;" type="text"/>	Date of Birth of Nominee** : <input style="width: 100px; border: 1px solid black;" type="text"/>
Nominee Relationship* : _____	
Name of the Guardian **: _____	PAN of Nominee Guardian [§] : <input style="width: 100px; border: 1px solid black;" type="text"/>
Guardian's Relationship with Nominee** : <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	
Proof of relationship [§] : <input type="checkbox"/> Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others	
Address [§] : _____	
City : _____	State : _____ PIN <input style="width: 50px; border: 1px solid black;" type="text"/>
Nominee Signature [§] : x	

Name of the 3rd Nominee* : _____	% of Allocation* : _____
PAN of the Nominee [§] : <input style="width: 100px; border: 1px solid black;" type="text"/>	Date of Birth of Nominee** : <input style="width: 100px; border: 1px solid black;" type="text"/>
Nominee Relationship* : _____	
Name of the Guardian **: _____	PAN of Nominee Guardian [§] : <input style="width: 100px; border: 1px solid black;" type="text"/>
Guardian's Relationship with Nominee** : <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	
Proof of relationship [§] : <input type="checkbox"/> Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others	
Address [§] : _____	
City : _____	State : _____ PIN <input style="width: 50px; border: 1px solid black;" type="text"/>
Nominee Signature [§] : x	

* Mandatory § Optional **Mandatory & Applicable in case the Nominee is a Minor

Instructions

1. The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly.
2. 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**.
3. Nomination is not allowed in a folio of a Minor unitholder.
4. If the units are held jointly (i.e., in case of multiple unitholders in the folio), all joint holders need to sign the Nomination Form (even if the mode of holding/operation is on "Anyone or Survivor" basis).
5. A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee needs to be provided.
6. 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.
7. 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.
8. A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
9. **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 total percentage of allocation amongst multiple nominees does not add up to 100%, the nomination request shall be treated as invalid and rejected. 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.
10. Every new nomination for a folio/account shall overwrite the existing nomination, if any.
11. Nomination made by a unit holder shall be applicable for units held in all the schemes under the respective folio / account.
12. Nomination shall stand rescinded upon the transfer of units.
13. **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 equally amongst the surviving nominees.
14. **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).**
15. The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC.
16. 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.

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:

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 : <input style="width:100%;" type="text"/>	
A/c Type (Pls ✓) : <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (Pl. specify) _____	
MICR Code (9 Digit) : <input style="width:50%;" type="text"/>	IFSC Code (11 Digit) : <input style="width:50%;" type="text"/>

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	State	PIN <input style="width:100%;" type="text"/>

**Signature Verification by Bankers
(Manager and above)**

Signature of the abovenamed customer in the box alongside, verified & validated with his/her specimen signature as per Bank's records

X	Signature of the registered Karta
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X	Signature of the bank official with Bank's Seal
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Name* of the attesting Bank Official	
Designation* (Manager and above)	Manager and above
Employee Code*	
Telephone Number*	

* Mandatory

STAMP DUTY CHARGES

S. No.	Name of the State	Indemnity Bond (IB) for Transmission	Affidavit (A) for Transmission
1	Gujrat	100	20
2	Karnataka	200	20
3	West Bengal	50	10
4	Tamilnadu	80	20
5	Maharashtra	500	100
6	Delhi	100	10
7	Rajasthan	200	50
8	Uttar Pradesh	100	10
9	Telangana/Andhra Pradesh	100	10
10	Punjab	100	15
11	Haryana	100	10
12	Chandigarh	15	15