

TRANSMISSION TO SURVIVING HOLDERS - 1st HOLDER DECEASED

TRANSMISSION DOCUMENTS MATRIX – READY RECKONER							
Sr. 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	
		2 nd or 3 rd Holder deceased	1 st 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 <i>Annexure-I(a)</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 <i>Annexure-1(b)</i>	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 is more than ₹500,000	NA#	NA#	✓	✓	✓	✓
10.	Additional documentation required: Copy of ID Proof [PAN/Redacted Aadhaar/Voter ID/Passport or any other OVD as per PMLA guidelines] of the deceased person attested by the claimant(s) and duly notarized or originals can be shown at the AMC branches and OSV seal attested by them (as a risk mitigation measure).	NA	NA	✓	✓	✓	✓

* If PAN not submitted previously **If not KYC compliant # Only required in case of signature mismatch

SUPPORTING LEGAL DOCUMENTS							
Sr. 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 & 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 (<i>Annexure II</i>) - Duly notarised #	NA	NA	NA	✓	NA	NA
(ii)	Individual Affidavit by all legal heir/s (<i>Annexure III</i>) - 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 (<i>Annexure – IV</i>)	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>						

SUPPORTING LEGAL DOCUMENTS

Sr. 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 & Nomination NOT registered	Karta of HUF deceased	
		2 nd or 3 rd Holder deceased	1 st Holder deceased			New Karta Appointed	HUF Dissolved
(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 as per Annexure II from the legal heir(s) / claimant(s) to whom the securities are transmitted, as per the format specified provided; and 2) No Objection Certificate as per Annexure IV 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
	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 Surviving Joint Holder/s
(Where the 1st holder is Deceased)

Date:

D	D	M	M	Y	Y	Y	Y
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To:
RedHex Specialized Investment Fund

Sirs,

I/We, the joint holder/s in the below mentioned Investment Strategies / folios hereby inform you that the 1st Holder in the said folios is expired on the dates mentioned below –

S.No.	Name(s) of the Deceased Unitholder(s)	Id. Proof attached**	Date of demise**
1	Mr./Ms.		D D / M M / Y Y Y Y
2	Mr./Ms.		D D / M M / Y Y Y Y

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

** ID proof [PAN/Redacted Aadhaar/Voter ID/Passport or any other valid Officially Valid Document (OVD) as per PMLA guidelines] of the deceased person attested by the claimant(s), duly notarized or originals can be shown at the AMC branches and Original Seen and verified (OSV) seal attested by them.

Sr. #	Investment strategy Name	Folio No.	No. of units
1			
2			
3			
4			
5			

I/we, the surviving Unitholder/s therefore request you to transmit the Units in the abovementioned folios in my/our name/s in the following order:

UH	Name of the Unitholder	PAN	Tax Status:
1	Mr./Ms.		<input type="checkbox"/> Resident <input type="checkbox"/> NRI <input type="checkbox"/> PIO
2	Mr./Ms.		<input type="checkbox"/> Resident <input type="checkbox"/> NRI <input type="checkbox"/> PIO

I/we also request you to pay the UNCLAIMED amounts, if any, in respect of the deceased unitholder to the aforesaid new Holder no. 1, named at sr. no. 1 above, by direct credit to the bank account mentioned hereinbelow.

Contact Details of Holder No. 1

Mobile No. + 9 1	Tel. (Res./Office)
Mobile belongs to : <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Guardian (to Minor investment) <input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parents	<input type="checkbox"/> POA <input type="checkbox"/> PMS
Email Address: <i>Email ID to be filled in CAPITAL LETTERS</i>	
E-mail belongs to: <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Guardian (to Minor investment) <input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parents	<input type="checkbox"/> POA <input type="checkbox"/> PMS

Address of Holder no. 1 (Please note that your address will be updated as per your address on KYC form/KYC Registration Agency records)

Address Line 1		
Address Line 2		
City	State	PIN

Overseas Address (Mandatory in case of NRI Claimant in addition to mailing address) (Should be same as in KRA records.)

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

Bank Account Details of Holder no. 1

Bank Name		
Account number	IFSC Code (11 Digit)	
A/c Type (Pls ✓) : <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> FCNR	MICR Code (9 Digit)	
Name of Bank Branch		
City	Pin	

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

- Cancelled cheque with claimant's name & account pre-printed Bank Statement/Passbook having claimant's name
 Certification of the bank account details - on bank's letterhead or in Form Annexure 1.

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

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 <i>Please specify</i> _____			
The claimant is <input type="checkbox"/> 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 - 1 crore <input type="checkbox"/> >1 crore						

FATCA and CRS details

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)
<input type="checkbox"/> I/We DO NOT wish to make a nomination. (<i>Mandatory to tick ✓ if you do not wish to nominate anyone</i>)
<input type="checkbox"/> 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 (<i>Fill the separate nomination form</i>).

Declaration and Signature of Claimant/s

- I/We confirm that the information provided above is true and correct to the best of my knowledge and belief.
- I/we undertake to keep the RedHex SIF/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/We hereby authorize RedHex Specialized Investment Fund & its AMC/RTA to share/disclose any of the information provided by me/us, including any changes in respect thereof to the SIF'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 RedHex SIF & its AMC/RTA to provide any of the information provided by me/us including my unit holdings to any governmental or statutory or judicial authorities/agencies as required by law without any obligation of informing me/us of the same.

X	X
Signature of the new Holder no. 1	Signature of the new Holder no. 2

Attachments:

- Copy of Death Certificate of the deceased unitholder
- Officially Valid Document (OVD) of the deceased unitholder
- Copy of PAN Card of Claimant
- Cancelled cheque of the new first unit holder with name pre-printed
- OR
- Statement/Passbook of the new first unit holder
- OR
- Bank Attestation of Signature & bank account details of the Claimant as per Annexure-IA
- KYC of the surviving unit holder(s), *if not already complied earlier.*

Applicable for Individual Unitholders only. All unit holders need to sign (irrespective of mode of holding). Please read the instructions carefully before filling up this Form.

Date :

D	D	M	M	Y	Y	Y	Y
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Fresh Nomination – All unit holders need to sign (irrespective of mode of holding). <input type="checkbox"/> Fresh Nomination	Change of Existing Nomination/Cancellation of Nomination – Signatures as per mode of holding. <input type="checkbox"/> Change of Existing Nomination <input type="checkbox"/> Cancellation of Nomination
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Folio No.(s) (having same mode of holding and pattern)	
1.	2.
3.	4.
Investor Name (Mr./Ms.) _____	

Nomination Details

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.**

Nomination can be made upto three nominees in the account.	Mandatory information		
	1st Nominee	2nd Nominee	3rd Nominee
Name of the Nominee (Mr./Ms.)			
Share of each Nominee#	%	%	%
Date of Birth (for Minor)			
Relationship with the Applicant (select one)	<input type="checkbox"/> Spouse <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Daughter <input type="checkbox"/> Son <input type="checkbox"/> Others (please specify) _____	<input type="checkbox"/> Spouse <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Daughter <input type="checkbox"/> Son <input type="checkbox"/> Others (please specify) _____	<input type="checkbox"/> Spouse <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Daughter <input type="checkbox"/> Son <input type="checkbox"/> Others (please specify) _____
Nominee/Guardian (in case of Minor) Identification details [Please tick any one of the following and provide ID Number and no copies required].	<input type="checkbox"/> PAN _____ <input type="checkbox"/> Aadhaar (masked – only last 4 digits visible) * * * * * <input type="checkbox"/> Passport (for NRIs/OCIs/PIOs) <input type="checkbox"/> Driving License	<input type="checkbox"/> PAN _____ <input type="checkbox"/> Aadhaar (masked – only last 4 digits visible) * * * * * <input type="checkbox"/> Passport (for NRIs/OCIs/PIOs) <input type="checkbox"/> Driving License	<input type="checkbox"/> PAN _____ <input type="checkbox"/> Aadhaar (masked – only last 4 digits visible) * * * * * <input type="checkbox"/> Passport (for NRIs/OCIs/PIOs) <input type="checkbox"/> Driving License
Address of Nominee(s)/ Guardian in case of Minor	<input type="checkbox"/> Same as First Applicant	<input type="checkbox"/> Same as First Applicant	<input type="checkbox"/> Same as First Applicant
	City _____ Pin code _____ State _____ Country _____	City _____ Pin code _____ State _____ Country _____	City _____ Pin code _____ State _____ Country _____
Mobile No. of Nominee(s) / Guardian in case of Minor			
Email ID of Nominee(s)/ Guardian in case of Minor			
Name of the Guardian (in case Nominee is Minor)			
Guardian's Relationship with Nominee (non mandatory)	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian
I/We want the details of my/our nominee to be printed in the statement of holding, provided to me/us by the AMC/DP as follows; (please tick, as appropriate) <input type="checkbox"/> Name of nominee(s) with Details and Percentage <input type="checkbox"/> Nomination without Details and Percentage (Default Option)			
This nomination shall supersede any prior nomination made by the account holder(s), if any.			

Any odd lot after division shall be assigned/transferred to the first nominee mentioned in the form.

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

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 RedHex Specialized Investment 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.

If the account holder affixes thumb impression instead of signature, additionally please provide a doctors certificate and the thumb impression should be notarised.

Note: The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)

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INSTRUCTIONS

If you are opening a new demat account/SIF folio, you have to provide nomination. Otherwise, you have to follow the specified procedure for Opt-out

- The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC/RedHex SIF for each instance of providing or changing nomination.
- 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.
- Nomination is not allowed in a folio where Minor is the unitholder.
- The signatories for this nomination form in joint folios/account, shall be the same as that of your joint SIF folio/demat account. i.e.
 - 'Either or Survivor' Folios/Accounts - any one of the holders can sign.
 - 'First holder Folios/Accounts - only First Holder can sign.
 - 'Jointly' Folios/Accounts - both holders have to sign
- A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee is to be provided.
- 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.
- 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.
- A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
- 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.
- In case of demise of the investor and any one of the nominees, the regulated entities shall distribute the assets pro-rata to the remaining nominees
- Every new nomination for a folio/account shall overwrite the existing nomination, if any.
- Nomination made by a unit holder shall be applicable for units held in all the Investment Strategies under the respective folio/account.

- Nomination shall stand rescinded upon the transfer of units.
- Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/ RedHex SIF / Trustees against the legal heir(s).
- The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC/Redhex SIF.
- In respect of folios/accounts where the Nomination has been registered, the AMC/Redhex SIF 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.
- 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/RedHex SIF/DP, then the residual unclaimed asset shall continue to be with the AMC/RedHex SIF in case of SIF 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/RedHex SIF/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).

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

CALL US AT

Please visit our website <https://www.assetmanagement.hsbc.co.in/en/redhex-sif/contact-us> for an updated list of Official Points of Acceptance of RedHex SIF. 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	Investor (Dialing from abroad)
Toll Free Number	1800-4190-200 / 1800-200-2434	1800-419-9800	+ 91 44 39923900
Email ID	sifinvestor.line@mutualfunds.hsbc.co.in	sifpartner.line@mutualfunds.hsbc.co.in	sifinvestor.line@mutualfunds.hsbc.co.in