

Transmission Documents Matrix – Ready Reckoner

Sr. No.	Documents Required for Transmission	Transmission to Surviving Joint Holders	Demise of Sole/All unit holders & Nominee/s registered.	Demise of Sole/All unit holders & Nominee/s Not registered.	Demise of Karta an HUF.
Basic Documents:					
1	Letter from the Nominee/s or the Claimant/s or new Karta Addressed to the AMC/Fund/Registrar.	✓	✓	✓	✓
2	Death Certificate of deceased Unit Holder/s/Karta in original or Photocopy duly notarized or attested by gazetted officer/bank manager.	✓	✓	✓	✓
3	KYC of Nominee/s of Claimant/s or Surviving Unit holders or HUF & New Karta. Or KYC of the Guardian (in case of nominee/claimant being a minor / of unsound mind.)	✓	✓	✓	✓
4	New Bank Mandate details - duly attested by Bank Manager - (Annexure I) or Cheque copy with account number and holders' name printed on the cheque.	✓	✓	✓	✓
Additional Legal Documents: (Indemnity Bonds/Individual Affidavit to be on minimum Rs. 20/- stamp paper or more and duly notarized. KYC address should match with the address mentioned in the Indemnity Bond.)					
1A	Indemnity bond signed by all legal heir/s confirming the claimant/s (Annexure II)			✓	
1B	Individual Affidavit by the Legal Heir/s (Annexure III)			✓	
2	<i>Transmission value Upto Rs. 2,00,000:</i> <i>Document evidencing relationship of the claimant/s with the deceased unit holder/s.</i> Transmission value Above Rs. 2,00,000/-: Notarised copy of the Probated will OR Legal Heir / Succession / Claimant certificate by a competent court OR Letter of Administration, in case of Inestate Succession.			✓	
3 A	Indemnity Bond signed by all the co-parceners appointing the new Karta (Annexure IV)				✓
3 B	Notarized copy of Settlement Deed OR Deed of Partition OR Decree of the relevant competent Court: (In case of no surviving co-parceners and the transmission value is more than Rs. 2,00,000/- . OR where there is an objection from any surviving members of the HUF)				✓

Annexure - I : New Bank Mandate Details with Attestation from Bank Branch Manager

<To be given on Bank's Letter Head> or
<Bank Branch seal, employee name and number seal should be affixed>

TO WHOMSOEVER IT MAY CONCERN

This is to certify that

Claimant's Name

Mr. / Ms. ^(#)

S/o or D/o

residing at

is holding the following account in our bank and branch

Bank Name

Branch Name

Bank A/c No

A/c Type (Please Savings Current NRE NRO FCNR Others _____)

MICR Code (09 digit)

IFSC Code (11 digit)

Signature of the above A/c holder as per Bank's records

Signature of the Bank Manager:

Bank & Branch Seal
With employee name and number

Date:

Place:

^(#) = Name of the claimant

ANNEXURE - III: Individual Affidavit by the Legal Heirs
(In case of Transmission of Mutual Fund Units held by a Single Holder / on death of all unit holders
in case of Joint Holding and where there is no nominee registration)

_____ “son /
 daughter / spouse of _____ residing at _____

do hereby solemnly affirm and sincerely state on oath as follows:

That Mr./Mrs.⁽¹⁾ _____ the
 deceased was holding the following mutual fund units in his/her name as single holder/joint holders.

Sl. No.	Name of Mutual Fund	Scheme Name	Folio No.	No. of Units Held

That the deceased had died intestate on _____ for which we are attaching a Death Certificate.

The following are the only legal heir(s) of late Mr./Mrs.⁽¹⁾ _____
 for which we are attaching a Legal Heirship Certificate / Succession Certificate.

Sl. No.	Name of Legal Heirs	Address	Age	Relationship with the deceased
1.				
2.				
3.				

That out of aforesaid legal heirs Master / Kumari _____
 Aged _____ years is a minor and he/she is being represented by Mr./Ms.⁽⁵⁾ _____
 who is none other than his/her father/mother as natural guardian.

We also confirm that there is no other legal heir as stated above to the deceased,⁽¹⁾ _____

We also indemnify the concerned mutual fund and its authorized Registrar and Transfer Agent in a separate indemnity letter with a third party sureties.

DEPONENT SIGNATURE: _____

VERIFICATION

We hereby solemnly affirm and state on oath that what is stated herein above is true and correct 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 above mentioned mutual fund units of the deceased.

Solemnly affirmed at
 Signed before me at _____ on _____

 Signature of Notary with Official Seal of Notary

Note: 1. Each deponent shall sign separate affidavits.

^(#) = Name of the legal heir;

⁽¹⁾ = Name of the deceased unit holder;

⁽⁵⁾ = Name of the Guardian

**Annexure - IV: Indemnity Bond with Respect to Change of Karta /
Transfer of the Mutual Funds Units held by the Deceased Karta
(To be signed by all the coparceners including the new Karta)**

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

Sl. No.	Name of Mutual Fund	Scheme Name	Folio No.	No. of Units Held

I/We inform you that “Mr. / Ms. ^(*) _____”
passed away on _____ and he was the Karta of the HUF and holding the following Mutual Fund Units:

I/We inform you that the following are the only living members of the _____
(Name of the HUF) and that there are no other members / coparceners for the said HUF:

Sl. No.	Name	Age	Date of Birth
1.			
2.			
3.			

I/We further inform you that Mr. “Mr. / Ms. ^(#) _____” is
the senior most coparcener of the HUF/ is the new Karta duly appointed by all the members.

I/We have, therefore, approached you with a request to replace the name of the deceased Karta with the name of the
new Karta Mr. “Mr. / Ms. ^(#) _____” for which
I/We 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 thereof my / our request to replace the name of the Karta in the above said Mutual Fund units in the
place of deceased Karta I/We hereby agree and undertake to indemnify and keep indemnified, saved, defended,
harmless you and your 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.

IN WITNESS WHEREOF THE said “Mr. / Ms. ^(S) _____”
has here unto set their respective hands and seals this _____ day of _____.

Signed and delivered by the said applicant. (Name of new Karta)

1. _____

Name & Address of members of the HUF

Signature of the members of the HUF

1. _____

2. _____

Sureties Name and Address [Mandatory]

Sureties Signature

Date: _____

Place: _____

Signature of notary [With name and seal]

Add additional lines wherever applicable

^(*) = Name of the deceased Karta [Unit Holder]; ^(#) = Name of the new Karta; ^(S) = Name of the members of HUF