Transmission Request Form (under Simplified category but other than QTP Category)

(on death of the Sole holder / all holders)

Tick (☐→☑) the boxes wherever applicable and fill in the details legibly.

To: Date: mm, dd, yyyy

< Fund Name>/RTA Name>
<Address>
<City> - <Pincode

Part A – Claimant and Deceased Holder information

Folio No(s).	
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 security/unit holder(s) and request you to transmit the securities/units held by the deceased security/unit holder(s) as listed below in my/our favor in my/our capacity as

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

S. No.	**Name of Mutual Fund Scheme** / *Company*	**Folio No.** / *Client ID / DP ID / Certificate No.*	**No. of Units / Securities Held**	Certificate Number (for physical shares / securities)	*Distinctive No. (if applicable)*
1				NA	From: NA To: NA
2				NA	From: NA To: NA
3				NA	From: NA To: NA

Part C – Other information about Nominee / Legal Heir / Claimant

◯ KYC Acknowledgment attached ◯ KYC form attached

Tax Status: ◯ Resident Individual ◯ Resident Minor (through Guardian) ◯ NRI ◯ PIO / OCI ◯ Others (please specify)

Contact details of the Nominee / Legal Heir / Claimant

Mobile No.	Tel. No. STD -
Email Address	
Above mobile belongs to: ☐ Self ☐ Spouse ☐ Dependent parent(s) ☐ Son ☐ Daughter	
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

Bank Account Details of the Nominee / Legal Heir / Claimant

Bank Name	
Account No.	11-digit IFSC
A/c. Type (✓) ☐SB☐ Current☐ NRO☐ NRE☐ FCNR	9-digit MICR No.
Name of bank and branch	
City	PIN

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

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 provided my/our consent to add me/us as Joint Holder in the new transmission folio where claimant would be the first holder and consider this as my/our specimen signature.

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.

Claimant Signature	
Place	Date

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.

Signed before me

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

* strikeout whichever is not applicable.

<u>Documents checklist to be attached along with the transmission request form.</u>

S. No.	Document	Submitted	Remarks
1	Original Transmission Request Form (duly filled and signed).	☐	
2	Verifiable death certificate (as per SEBI circular dated July 23, 2026) of the deceased holder.	☐	
3	Copy of the Statement of account (SOA) if available or Original security certificate, where applicable.	☐	
4	Where the claimant is a minor, submit birth certificate or school leaving certificate or passport or masked Aadhaar showing last four digits or minor PAN showing date of birth, duly attested by the natural or legal guardian.	☐	
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	Nominee/claimant signature shall be attested by a Notary Public, JMFC, or banker. Banker attestation shall include claimant name, PAN, address as per bank records, attesting officer name, employee number, designation, branch name and address, and shall be from the bank account proposed as the payout mandate.	☐	
	Additional requirements under simplified category - If the transmission value is above the QTP value but within the defined threshold, that is, more than INR 10,000 and up to INR 10 lakhs for mutual fund units held in non-demat mode, the following additional documents shall be submitted.		
9	Notarized indemnity bond indemnifying the RTA / listed entity/AMC as may be applicable.	☐	
10	Notarized affidavit cum NOC from all legal heirs, confirming identification and claim of legal ownership to the securities 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.	☐	
	Additional requirements - If the transmission value exceeds the defined threshold, that is, above INR 10 lakhs for mutual fund units held in non-demat mode per mutual fund, the following documents shall be submitted in addition to the documents stated above (1-8).		
11	Notarized affidavit cum NOC from all legal heirs, confirming identification and claim of legal ownership to the securities 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 securities 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 securities have to be transmitted. **(OR)** Copy of Succession certificate or Letter of Administration or Court Decree.	☐	