FORM-4: Transmission to New Karta/Claimant

(on death of HUF Karta or on Dissolution of HUF)

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

Date: mmm dd, yyyy

Part A – Claimant and Deceased Holder information

Folio No.	
Deceased HUF Karta Name	
HUF (where Karta expired) PAN / PEKRN	
Claimant Name	
Claimant (Guardian) PAN / PEKRN *(in case New Karta/Claimant is Minor)*	

Part B – Transmission request Form

I, the surviving co-parcener of abovenamed HUF / claimant, hereby inform you that, Mr._____, the Karta of the above HUF who was managing the affairs of the HUF, expired on _____ and I have taken over the affairs of the above HUF as its new Karta, being the senior most coparcener or claimant as HUF is dissolved. I therefore, request you to replace the name of the deceased Karta with my name as the new Karta of the HUF in your records or transmit the units in my favour as HUF is dissolved and no surviving co-parcener(s) in respect of the investments of the HUF in the following schemes / folios:

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 new Karta/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 Claimant

Mobile No.+91	**Tel. No. STD -**
Email Address	

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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 of HUF (if requires any change) or of new claimant (in case of HUF Dissolution)

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

Please attach & tick✓ ☐ *Cancelled cheque with HUF or new claimant 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.

Part D – 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/Depository 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.

New Karta / Claimant Signature	
Place	**Date**

Signed before me

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

* strikeout whichever is not applicable.

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

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 new Karta / 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 New Karta Guardian (if claimant is a minor).	☐	
6	FATCA-CRS Declaration in a prescribed format.	☐	
7	New Karta/Claimant signature shall be attested by a Notary Public or 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.		
8	Notarized indemnity bond indemnifying the RTA / listed entity/AMC as may be applicable.	☐	
9	If the transmission amount is up to ₹. 10 lakhs, attestation of the signature of the claimant by bank manager as per Annexure-4 (For new Karta) or Annexure 3 (For Claimant on HUF Dissolution) In case the claimant is a minor, the signature of the guardian (as per the minor's bank account / minors joint account with the guardian) shall be attested.	☐	
	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).		
10	Bond of Indemnity to be furnished by the Claimant as per Annexure-4.	☐	
11	If the transmission amount is for more than ₹. 10 lakhs, the signature of the claimant shall be attested by a Notary Public or a JMFC in the space provided for signature attestation in the TRF itself below the signature of the claimant.	☐	
12	Any ONE of the following: • Notarized copy of Settlement Deed, OR • Notarized copy of Deed of Partition, OR • Notarized copy of Decree of the relevant competent Court.	☐	
13	Any other document as requested specifically including cancelled cheque copy wherever applicable.	☐	