





# MUTUAL FUNDS

## Aditya Birla Sun Life Mutual Fund



**ADITYA BIRLA  
CAPITAL**

PROTECTING INVESTING FINANCING ADVISING

### TRANSMISSION REQUISITION FORM

I/We do hereby Solemnly affirm and sincerely state on oath as follows,

I/We inform you that "Mr. / Ms. (\*)" \_\_\_\_\_ " passed away on \_\_\_\_\_ and he/she was holding the following Mutual Fund Units:

S No.	Name of Mutual Fund	Scheme Name	Folio No	No. of Units Hold

I/We further inform you that he/she has nominated me/us as the nominee of the mutual fund units standing in his/ her name.

I/We have, therefore, approached you with a request to transfer the aforesaid Mutual fund units in the name of the undersigns

"Mr. / Ms. (#) \_\_\_\_\_"  
without insisting of production of a succession certificate or an order of the court of competent jurisdiction 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 therefore of my / our request to transfer above said Mutual Fund units to my/our name/s, I/We agree to receive the said units only as an agent and trustee for the legal heirs or legatees of the said unit holder/s. I/We hereby further 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 request, transferring the said mutual fund units as herein above mentioned, to my / our name/s without insisting on production of a succession certificate or an order of the court of competent jurisdiction.

IN WITNESS WHEREOF THE said "Mr. / Ms. (#) \_\_\_\_\_"  
has/have here unto set their respective hands and seals this \_\_\_\_\_ day of \_\_\_\_\_

Signed and delivered by the said applicant/s

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

Name & Address of Nominee(s)

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

Signature of the Nominee(s)

Date: \_\_\_\_\_

Place: \_\_\_\_\_

Signature of Notary [with Name and Seal]

(\*) =Name of the deceased unit holder/s

(#) =Name/s of the claimant/s

#### ACKNOWLEDGEMENT SLIP (To be filled in by the Investor)

#### TRANSMISSION REQUISITION FORM

PAN No

Folio No

Collection Centre /  
ABSLAMC Stamp & Signature

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ANNEXURE – II:

(To be signed jointly by all the Legal Heirs)

**INDEMNITY BOND WITH RESPECT TO TRANSFER OF THE MUTUAL FUND UNITS HELD BY THE DECEASED HOLDER WITH OUT PRODUCTION OF LEGAL REPRESENTATION**

(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**).

I/We state that "Mr. / Ms. (\*)" passed away on \_\_\_\_\_ and he/she was holding the following Mutual Fund Units:

S No.	Name of Mutual Fund	Scheme Name	Folio No	No. of Units Hold

The said unit holder died intestate or without registering any nominee/s in folio/s on the \_\_\_\_\_ day of \_\_\_\_\_.

We further inform you that he / she left behind him/her only surviving heirs and next of kin, the following persons according to the Law of Intestate Succession application to him/her by which he/she governed at the time of his/her death.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

We have, therefore, approached you with a request to transfer the aforesaid Mutual Fund units in the name of the undersigns

"Mr. / Ms. (#) \_\_\_\_\_"

"on my/our behalf without insisting of production of a succession certificate or an order of the court of competent jurisdiction for which we or any one on our behalf 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 therefore of my/our request to transfer above said Mutual Fund units to the name of the undersigned "Mr. / Ms. (#) \_\_\_\_\_".

I / we hereby jointly and severally 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, transferring the said Mutual Fund units as herein above mentioned, to the undersigned "Mr. / Ms. (#) \_\_\_\_\_" without insisting on production of a succession certificate or letter of administration or an order of the court of competent jurisdiction.

IN WITNESS WHEREOF THE said "Mr. / Ms. (#) \_\_\_\_\_" have here unto set their respective hands and seals this \_\_\_\_\_ day of \_\_\_\_\_.

Signed and delivered by the said legal heir(s).

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

Name & Address of the Legal Heir/s

1. \_\_\_\_\_

2. \_\_\_\_\_

Suretie/s Name and Address [Mandatory]

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature of the Legal Heir/s

\_\_\_\_\_

\_\_\_\_\_

Suretie/s Signature

\_\_\_\_\_

Signature of the Notary with Name & Seal

(\*) = Name of the deceased unit holder

(#) = Name of the claimant

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Annexure – III

Individual Affidavits 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**)

I (\*) \_\_\_\_\_ "son / daughter / spouse of \_\_\_\_\_ residing at \_\_\_\_\_

\_\_\_\_\_ do

hereby solemnly affirm and sincerely state on oath as follows.

That Mr. / Mrs. . (#) \_\_\_\_\_ "the deceased was holding the following mutual fund units in his /her name as single holder/joint holders:

S No.	Name of Mutual Fund	Scheme Name	Folio No	No. of Units Hold

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. . (#) \_\_\_\_\_ " for which we are attaching a Legal Heirship Certificate/ Succession Certificate.

Sl. No.	Name of the 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. (\$) \_\_\_\_\_ " 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, (#) \_\_\_\_\_ "

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 deceased unit holder

(#) = Name of the legal heir

^Name of the guardian

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S No	Documents	Please tick where relevant
1	Original Death Certificate of deceased Unit Holder(s) / Karta or Notarized Copy of the Death Certificate.	
2	Copy of the PAN card of Nominee / Claimant duly attested by ARN Distributor / Notary / Bank Manager [Not applicable if KYC acknowledgment copy is attached]	
3	Copy of the PAN card of Nominee / Claimant [in case Nominee / Claimant being a minor] duly attested by ARN Distributor / Notary / Bank Manager [Not applicable if KYC acknowledgment copy is attached]	
4	Original Notarized / Attested Copy of the Proof of Age [Birth Certificate / PAN with Photo Card / Voter's ID / Ration Card in case of Family Head] in case Nominee / Claimant is Minor	
5	KYC acknowledgement copy for Claimant / Nominee for the respective applicable amount	
6	New Bank Mandate details - duly attested by Bank Manager	
7	Proof for Bank Mandate with supportings as per Enclosure mentioned in the form	
8	Letter from the Claimant/Nominee addressed to ABSLAMC	
9	Indemnity Bond*	
10	Original Notarized / Attested Copy of the Will with Probate of the Will [If available]	
11	Legal Heir / Succession Certificate or Affidavit* from Legal Heir [Individually].	
12	Dissolution Deed / HUF Partition Deed / Settlement Deed.	
13	Appropriate order from the Court / Court Decree.	
14	Any other documents submitted [Please specify].	

SIGNATURE OF THE CLAIMANT

DATE :

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Aditya Birla Sun Life AMC Limited (Investment Manager to Aditya Birla Sun Life Mutual Fund)  
(Formerly known as Birla Sun Life Asset Management Company Limited)  
Regn. No.: 109, Regd Office: One Indiabulls Centre, Tower 1, 17th Floor, Jupiter Mill Compound,  
841, Senapati Bapat Marg, Elphinstone Road, Mumbai - 400013  
+91 22 4356 7000 | care.mutualfunds@adityabirlacapital.com | www.adityabirlasunlifemf.com | CIN: U65991MH1994PLC080811

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### Transmission process, Various Scenarios and Documentation requirement.:

#### 1. Transmission in case of Joint Holder Being the claimant

- Letter from surviving unit holders requesting for transmission of units.
- Death Certificate in original or photocopy duly notarized or attested by gazette officer
- Bank Account Details of the new first unit holder as per **Annexure I** along with attestation by a bank branch manager or cancelled cheque bearing the account details and account holders name.
- KYC of the surviving unit holders, if not already submitted.

#### 2. Transmission where mode of holding is single and there is a nominee registered.

- Letter from claimant nominee/s requesting for transmission of units
- Death Certificate/s in original or photocopy duly notarized or attested by gazette officer or a bank manager.
- Bank Account Details of the new first unit holder as per **Annexure I** along with attestation by a bank branch manager or cancelled cheque bearing the account details and account holders name.
- KYC of the claimant/s.

#### 3. Transmission to claimant/s, where nominee is not registered and no Joint holders:

- Letter from claimant/s requesting for transmission of units
- Death Certificate/s in original or photocopy duly notarized or attested by gazette officer or a bank manager
- Bank Account Details of the new first unit holder as per **Annexure I** along with attestation by a bank branch manager or cancelled cheque bearing the account details and account holders name.
- KYC of the claimant/s.
- Indemnity Bond from legal heir/s - **Annexure II (On stamp paper of value Rs. 500).**
- Individual affidavits from legal heir/s - **Annexure III (On Stamp paper of value Rs. 100).**
- If the transmission amount is below Rs 2 Lakh: any appropriate document evidencing of the claimant/s with the deceased unit holder/s. (Passport Copy, ration card or any other document evidencing the relationship)
- If the transmission amount is Rs 2 Lakh or more: Any one of the documents mentioned below:
  - Notarised copy of Probated Will, or Legal Heir Certificate or Succession Certificate or Claimant's Certificate issued by a competent court, or Letter of Administration, in case of Intestate Succession.

#### 4. Transmission in case of HUF, due to death of Karta:

HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta and HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta who needs to submit following documents for transmission:

- Letter Requesting for change of Karta.
- Death Certificate in original or photocopy duly notarized or attested by gazette officer or a bank manager.
- Duly certified Bank certificate stating that the signature and details of new Karta have been appended in the bank account of the HUF - **Annexure I**
- KYC of the new Karta and KYC of HUF
- Indemnity bond signed by all the surviving coparceners appointing the new Karta - **Annexure IV. (On stamp paper of value Rs. 500)**
- In case of no surviving co-parceners AND the transmission amount is Rs 2 Lakh or more OR where there is an objection from any surviving members of the HUF, transmission shall be effected only on the basis of any of the following mandatory documents:
  - Notarized copy of Settlement Deed, or
  - Notarized copy of Deed of Partition, or
  - Notarized copy of Decree of the relevant competent Court

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