

ANNEXURE B

| Transmission Documents Matrix - Ready Reckoner | | | | | | | |
|------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|---------------------|------------------------------------------------------------------|----------------------------------------------------------------------|-----------------------|---------------|
| Sr. No. | Documents required for Transmission | Transmission to Surviving Holders | | Sole Holder / All Joint holders deceased & Nomination registered | Sole Holder / All Joint holders deceased & Nomination NOT registered | Karta of HUF deceased | |
| | | 2nd or 3rd Holder deceased | 1st 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 | a) Death Certificate of deceased Unit Holder/s / Karta in original or Photocopy duly attested by a Notary Public or a Gazetted Officer. b) Any one id proof copy (pan/ aadhaar/ voter id/ passport) of deceased holder attested by claimant and duly attested by a Notary Public. | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| 3 | Copy of Birth Certificate (in case the Claimant is a minor) | NA | ✓ | ✓ | ✓ | | ✓ |
| 4 | KYC of the Claimant / New Karta / Guardian (in case of nominee / claimant being a minor / of unsound mind). | ✓* | ✓* | ✓ | ✓ | ✓ | ✓ |
| 5 | 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. | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| 6 | Bank Attestation of Signature of the Claimant/ Guardian (in case the Claimant is a minor) by the Bank Manager as per Annexure-I where Transmission value upto ₹200,000: | NA | NA | ✓ | ✓ | | ✓ |
| 7 | Bank's letter certifying / attesting the signature and details of new Karta in the bank account of the HUF as per Annexure-1a | NA | NA | NA | NA | ✓ | NA |
| 8 | Attestation of Signature of the Claimant by a Notary Public or a Judicial Magistrate First Class, if the Transmission value in more than ₹200,000: (in the space provided in TRF) | NA | NA | ✓ | ✓ | NA | ✓ |

*If not KYC compliant

Supporting Legal Documents

| Sr. No. | Documents required for Transmission | Transmission to Surviving Holders | | Sole Holder / All Joint holders deceased & Nomination 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 (Annexure II) - duly notarised | NA | NA | NA | ✓ | NA | NA |
| (ii) | Individual Affidavit by all legal heir/s (Annexure III) - duly Notarised | NA | NA | NA | ✓ | NA | NA |
| (iii) | Transmission value upto ₹200,000: | | | | | | |
| | Document evidencing relationship of the claimant/s with the deceased unitholder/s | NA | NA | NA | ✓ | NA | NA |
| | NOC from other Legal Heirs (Annexure – IV) | 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 | NA | ✓ | NA |
| (iv) | Transmission value is more than ₹200,000: | | | | | | |
| | (i) Notarised copy of the Probated Will OR | NA | NA | NA | ✓ | NA | NA |
| | (ii) Notarised copy Legal Heir certificate or Succession certificate issued by a competent court OR | | | | | | |
| | (iii) Notarised copy Letter of Administration, in case of an intestate Succession | | | | | | |
| | Notarized copy of – | NA | NA | NA | NA | NA | ✓ |
| Deed of Settlement 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 ₹200,000 OR where there is an objection from any surviving members of the HUF | NA | NA | NA | NA | ✓ | NA | |
| (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 | ✓ |

In case the claimant produces any one of the documents mentioned at (iv) above, where transmission value is more than ₹ 2 Lakhs, then indemnity bond as mentioned at point no (i) would not be required

Note - All the supporting documents should be either notarized or a notarised copy duly attested by a Gazetted Officer with the Name, seal, signature and designation of the attesting official. For HUF, HUF seal to be affixed on all the documents.