



Transmission Request Form

Folio Number/s Deceased Unit Holder / Karta's Name

1 CLAIMANT DETAILS

Due to the sad demise of the unit holder/s, I request Quantum Mutual Fund for transmission of units and register me as the beneficial owner in respect of the investments standing in the folio/s and name of the said deceased as mentioned above.

Request Made By Registered Nominee Joint Holder/s Guardian Legal Heir(s) Survivors of HUF Successor to the Estate Administrator of the Estate

Claimant Name

Claimant PAN Claimant DOB KYC Compliant Yes No

Address

City State Country Pin code

Name of the Guardian(Incase of Minor Only) Relationship with Minor(Attach proof) Father Mother Court Appointed

Proof of Date of Birth (In case of Minor) Birth Certificate School Leaving Certificate Passport Others

Contact Details Mobile No. Email ID

Tel No - STD Code : Res. Off. Fax

2 * KNOW YOUR CUSTOMER (KYC) DETAILS (Mandatory. Please Tick/ Specify. The application is liable to get rejected if details not filled.)

Status details Resident Individual NRI/PIO/OCI Sole Proprietorship Minor through Guardian HUF Others

Occupation details Private Sector Public Sector Government Service Business Agriculturist Housewife Student Others

Gross Annual Income Range(in Rs.) Below 1 lac 1-5 lac 5-10 lac 10-25 lac 25 lac-1cr 1-5 cr 5-10 cr >10 cr OR Network in Rs.

Politically Exposed Person (PEP) details Is a PEP Related to PEP Not Applicable

3 * BANK ACCOUNT DETAILS

A/c Type [please ✓] SB Current NRO NRE FCNR

Bank Name IFSC MICR Code

Account No Branch City Pin Code

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

Signature of Bank Manager

Bank & Branch Seal with employee name & number

** Note - Banker attestation is mandatory in case of nominee and Legal Heirs.

4 * NOMINATION DETAILS I do not wish to Nominate

	1 st Nominee	2 nd Nominee	3 rd Nominee
Name (as in PAN card/KYC records)	<input type="text"/>	<input type="text"/>	<input type="text"/>
PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth	<input type="text" value="D D M M Y Y Y Y"/>	<input type="text" value="D D M M Y Y Y Y"/>	<input type="text" value="D D M M Y Y Y Y"/>
Relationship with Investor	<input type="text"/>	<input type="text"/>	<input type="text"/>
Address	<input type="text"/>	<input type="text"/>	<input type="text"/>
Guardian Name (in case Nominee is a Minor)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Allocation % (Total to be 100%)	<input type="text"/>	<input type="text"/>	<input type="text"/>

5 * FATCA and CRS Details for Individual (Mandatory)

The below information is required for applicants/guardian

Place/City of Birth Country of Birth Country of Citizenship / Nationality

Is your Tax Residency / Country of Birth / Citizenship / Nationality other than India? Yes No (Please ✓)

If yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below.

Country of Citizenship / Nationality Tax Payer Reference ID No. 1

Country of Tax Residency 2 Tax Payer Reference ID No. 2

6 * Documents to be submitted by the Claimant

Please see overleaf / page 2 for the list of required documents.

DECLARATION AND SIGNATURE

I hereby declare that the above information is given by the undersigned and the particulars given by me are correct and complete. I hereby submit the documents mentioned on following page, based on transmission case as applicable to me, in support my claim for the said investments. I will not hold the Fund/AMC/RTA for any delay in transmission due to inadequacy of the documents or due to verification of our claim in detail and agree that the Fund reserves a right to call for any additional details and/or documents. I hereby confirm that the information provided here in above is true, correct and complete to the best of my knowledge and belief and that I shall be solely liable and responsible for the information submitted above. I also confirm that I have read & understood the FATCA & CRS Terms and Conditions below and hereby accept the same. I also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of the same being effective and also undertake to provide any other additional information as may be required any intermediary by domestic or overseas regulators / tax authorities.

FATCA and CRS Details

Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information of your account with the relevant tax authority(ies). If you have any questions about your tax residency, please contact your tax advisor. Further if you are a Citizen or Resident or Green Card Holder or Tax Resident of a country other than India, please include all such countries in the tax resident country information field along with your Tax Identification Number or any other relevant reference ID/Number. If there is any change in the information provided, kindly intimate the same to us within 30 days.

Claimant Signature

Date

Place

Transmission of Units Instructions

Transmission is a process whereby units held in the name of deceased unitholder are transferred either to the surviving unitholders or to the nominee or to the legal heirs.

Mutual fund units can be held either singly or jointly (upto three joint holders), and the mode of operation could be on either or survivor or on joint basis.

In case of transmission of units, document requirements vary under different situations, such as holding basis (sole or joint holding), whether there is a valid nomination registered and the current value of investments.

The following table lists the documents required for transmission under various situations:

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 of an HUF
Basic Documents:					
1	Transmission Form 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 or 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 100/- 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	Transmission value less than ₹ 2,00,000: Document evidencing relationship of the claimant/s with the deceased unitholder/s Transmission value ₹ 2,00,000/- or more : (i) Notarised copy of the Probated will OR (ii) Legal Heir / Succession / Claimant certificate by a competent court OR (iii) Letter of Administration, in case of Inestate Succession			✓	
3A	Indemnity Bond signed by all the co-parceners appointing the new Karta (Annexure IV)				✓
3B	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 ₹ 2,00,000/- , OR where there is an objection from any surviving members of the HUF)				✓

In case the claimant produces any one of the documents mentioned at point no. 2 above (under Additional Legal Documents), where transmission value is ₹ 2 lacs or more, then indemnity bond as mentioned at point no. 1A would not be required.