

## **1. Transmission Procedure**

### **Transmission to surviving unit holders in case of death of one or more unit holders:**

1. Transmission Request Form from surviving unit holder/s requesting transmission of units.
  2. Death Certificate of deceased Unit Holder/s issued by the Government Authority in original or copy of the Death Certificate duly attested by Notary Public **OR** Magistrate **OR** SBI Mutual Fund Official under their stamp and seal **OR** by the Bank Manager/Authorized Official of the bank with bank stamp / seal and should clearly indicate the name and designation/employee code.
  3. Bank Account Details of the new first unit holder in the Transmission Request along with attestation by a Bank Branch Manager\* (*Refer point f under 8 and 13 of Transmission Request Form*) or Original cancelled cheque bearing the account details and account holders name.
  4. KYC / CKYC Acknowledgment copy.
  5. Kindly mention the Nomination and FATCA / CRS details in the Transmission Request Form.
- \* Attestation of the Signature of the First Claimant should be duly verified by the Bank Manager/Authorized Official of the bank with bank stamp/seal and should clearly indicate the name, designation / employee code and signature.*

### **Transmission to registered nominee/s in case of death of Sole or All Unit holders**

1. Transmission Request Form from the nominee/s (claimant/s) requesting transmission of units.
  2. Death Certificate of deceased Unit Holder/s issued by the Government Authority in original or copy of the Death Certificate duly attested by Notary Public **OR** Magistrate **OR** SBI Mutual Fund Official under their stamp and seal **OR** by the Bank Manager/Authorized Official of the bank with bank stamp / seal and should clearly indicate the name and designation/employee code.
  3. Bank Account Details of the new first unit holder (nominee) in the Transmission Request along with attestation by a Bank Branch Manager\* (*Refer point f under 8 and 13 of Transmission Request Form*) or Original cancelled cheque bearing the account details and account holders name.
  4. KYC / CKYC Acknowledgment copy.
  5. Kindly mention the Nomination and FATCA / CRS details in the Transmission Request Form.
- \* Attestation of the Signature of the First Claimant (nominee) should be duly verified by the Bank Manager/Authorized Official of the bank with bank stamp/seal and should clearly indicate the name, designation / employee code and signature.*

### **Transmission to claimant (s) where nominee is not registered**

#### **If the value of Transmission is up to Rs. 2 Lakhs:**

1. Transmission Request Form from the claimant/s requesting transmission of units.
2. Death Certificate of deceased Unit Holder issued by the Government Authority in original or copy of the Death Certificate duly attested by Notary Public **OR** Magistrate **OR** SBI Mutual Fund Official under their stamp and seal **OR** by the Bank Manager with bank stamp / seal and should clearly indicating the name and designation/employee code.
3. Bank Account Details of the new first unit holder in the Transmission Request Form along with attestation by a Bank Branch Manager\* (*Refer point f under 8 and 13 of Transmission Request Form*) or Original cancelled cheque bearing the account details and account holders name.
4. KYC / CKYC Acknowledgment copy.
5. Kindly mention the Nomination and FATCA / CRS details in the Transmission Request Form
6. Notarized Copy of Probated Will **OR**

Notarized copy of Legal Heir Certificate/Succession Certificate issued by competent court **OR** Letter of Administration or Court Decree

*In case the documents in serial no. 6 are not available kindly arrange to forward us the following documents whose formats are available on our website.*

7. Notarized Indemnity on non-judicial stamp paper executed by claimant & sureties.
8. Affidavit from all legal heirs on non-judicial stamp paper executed by all legal heirs before either Notary Public or Magistrate. **(In case the legal heir/claimant is named in the Succession Certificate or Probate of Will or Letter of Administration, then Affidavit from such legal heir alone would be sufficient).**
9. If there is more than one legal heir, Letter of Relinquishment (No Objection letter) on plain paper with signature(s) of legal heir(s) attested by Notary under their official stamp and seal.

*\* Attestation of the Signature of the First Claimant should be duly verified by the Bank Manager/Authorized Official of the bank with bank stamp/seal and should clearly indicate the name, designation / employee code and signature.*

**If the value of Transmission is above Rs. 2 Lakhs:**

1. Transmission Request Form from the claimant/s requesting transmission of units.
2. Death Certificate of deceased Unit Holder issued by the Government Authority in original or copy of the Death Certificate duly attested by Notary Public **OR** Magistrate **OR** SBI Mutual Fund Official under their stamp and seal **OR** by the Bank Manager with bank stamp / seal and should clearly indicating the name and designation/employee code.
3. Bank Account Details of the new first unit holder in the Transmission Request Form along with attestation by a Bank Branch Manager\* **(Refer point f under 8 and 13 of Transmission Request Form)** or Original cancelled cheque bearing the account details and account holders name.
4. KYC / CKYC Acknowledgment copy.
5. Kindly mention the Nomination and FATCA / CRS details in the Transmission Request Form.
6. Notarized Copy of Probated Will **OR**  
Notarized copy of Legal Heir Certificate/Succession Certificate issued by competent court **OR** Letter of Administration or Court Decree
7. If there is more than one legal heir, Letter of Relinquishment (No Objection letter) on plain paper with signature(s) of legal heir(s) attested by Notary under their official stamp and seal.

*\* Attestation of the Signature of the First Claimant should be duly verified by the Bank Manager/Authorized Official of the bank with bank stamp/seal and should clearly indicate the name, designation / employee code and signature.*

**Transmission procedure to new Karta in case of HUF.**

1. Transmission Request Form requesting change of Karta
2. Death Certificate of deceased Karta issued by the Government Authority in original or copy of the Death Certificate duly attested by Notary Public **OR** Magistrate **OR** SBI Mutual Fund Official under their stamp and seal **OR** by the Bank Manager with bank stamp / seal and should clearly indicating the name and designation/employee code.
3. Bank details (IF ANY CHANGE) (proof of any one of the following)
  - Original Cancelled Cheque with name and account pre-printed
  - Copy of Bank Statement / Copy of Bank Passbook
  - Letter from the bank on its letterhead certifying the bank account information viz account holder's name and address, bank account number, bank branch, account type,

MICR & IFSC Code.

**Copies of the above documents can be submitted alongwith the original documents at any of the branches of SBI Mutual Fund and the original document/s will be returned after due verification and attestation. In case the original of any document is not produced for verification, then the copies can be attested by the Bank Manager/Authorized Official of the bank with bank stamp / seal and should clearly indicate the name and designation/employee code.)**

4. Signature Verification wherein the signature of the new Karta (with Karta seal) need to be verified by the Bank Manger/Authorized Official of the bank clearly indicating the name and designation/employee code. (**Refer Point 13 of Transmission Request Form**)
5. KYC / CKYC Acknowledgment copy (if not provided)
6. Kindly mention the Nomination and FATCA / CRS details in the Transmission Request Form
7. Indemnity bond on non-judicial stamp paper executed by Karta and other Coparceners of the family.

In case of no surviving Coparceners **AND** the transmission amount is Rs. 2 lakhs or more **OR** where there is an objection from any surviving members of the HUF, transmission should be effected only on the basis of any one of the following mandatory documents:

- a. Notarized copy of Settlement Deed, **OR**
- b. Notarized copy of Deed of Partition, **OR**
- c. Notarized copy of Decree of the relevant competent Court

**Additional requirements in case claimant is a minor:**

1. KYC / CKYC Acknowledgment copy of the Natural/Legal Guardian copy bearing PAN Number and Name of the Guardian (also if the claimant being of unsound mind)
2. **In case of natural guardian:** Attested copy of relationship proof between the minor and the natural guardian either Birth Certificate / PAN with Photo Card / Passport copy/ School Leaving Certificate / Ration Card. (The attestation can be obtained from SBI Mutual Fund Official under their stamp and seal **OR** by the Bank Manager with bank stamp / seal and should clearly indicate the name and designation/employee code.)
3. **In case of legal guardian:** Notarized copy of Certified court order  
(The minor will be the first and the sole holder. There shall not be any joint holder with minor)  
Nomination is not allowed in a folio held on behalf of a minor represented by Guardian)

**NOTES:**

If all the documents are found in order, transmission request will be processed and new folio will be generated. A Statement of Account will be sent to the investor to this effect