

Transmission – Process Check list

- Demise of sole/all unit holders & nominee/s not registered (Claimant would be legal heir).

Scheme Name:	
Class:	
Folio No:	
Investor Name:	
Joint holder 1 :	
Nominee:	
Tax Status	Resident Individual
Commitment amount	
Distributor:	
Death Holder Name:	
Documents required	Received Status
1. Request letter for approval for units transmission (Trustee)	
2. Copy of death certificate duly attested by notary public / original death certificate.	
3. Pan card copy duly attested	
4. Address proof duly attested (Utility bills -latest by 3 months)	
5. Bank Account details of the new first unit holder along with signature attestation by bank manager or cheque copy with account number and holder's name printed on the cheque.	
6. KRA & CKYC Form duly filled & signed with IPV (If not registered already)/ KRA & CKYC Acknowledgement copy if already ckyc compliant	
7. Fatca declaration	
8. Risk profiler (Scheme Specific)	In case of existing investor, risk profile and PPM receipt shall be obtained at the time of onboarding investor and hence not required at the current stage.
9. Indemnity Bond (Non Judicial Stamp Paper – Rs. 600/-)	
10. 4 pager documentation (Scheme Specific)	This is required only in case of HDFC client. Other distributor not required
11. Calling script (Scheme Specific)	This is required only in case of HDFC client. Other distributor not required
12. PPM Receipt (Scheme Specific)	In case of existing investor, risk profile and PPM receipt shall be obtained at the time of onboarding investor and hence not required at the current stage.

13. Original notarized/ attested copy of the will with probate of the will (OR) Legal heir / succession certificate or Affidavit from legal heir (individual affidavit from each legal heir) (OR) Appropriate order from court/court decree (as applicable)	
14. No Objection Certificate (NOC) from other legal heir made on Rs. 100/- Non-Judicial Stamp paper which should be notary attested (Format Attached)	
15. Since the other joint holders are NRI, we would require NRE/NRO declaration from concerned Branch in which the client holds an account as the same has to be reported to RBI – Format attached	
16. PoA Registered Status (Yes/ No) If yes POA Name	CAMS - Internal checking
17. Pledge marked status (Yes/No)-If marked units to be mentioned, Post clearance of Pledge of units, will process the Transmission of units to surviving holder)	CAMS - Internal checking
18. AML Status (World Check) Clear (Yes/No)	CAMS - Internal checking
19. Surviving holder sign matched with application form (Yes/No)	CAMS - Internal checking

Transmission – Process Check list

- Transmission to surviving joint holder**

Scheme Name:	
Class:	
Folio No:	
Investor Name:	
Joint holder 1:	
Nominee:	
Tax Status	
Commitment amount	
Distributor:	
Death Holder Name:	
Documents required	Received Status
1. Request letter for approval for units transmission (Trustee)	
2. Copy of death certificate duly attested by notary public / original death certificate.	
3. Pan card copy duly attested	
4. Address proof duly attested (Passport/Driving license/Aadhar/Voter id/Utility bills (latest by 3 months)	
5. Bank Account proof (Cancel Cheque/Bank Statement with all the details)	
6. KRA & CKYC Form duly filled & signed with IPV (If not registered already)/ KRA & CKYC Acknowledgement copy if already ckyc compliant	
7. Fatca declaration	
8. Investor Information Form with RM & SRM Name, Email and Mobile No etc., (for communication purpose)	
9. Risk profiler (Scheme Specific)-	In case of existing investor, risk profile and PPM receipt shall be obtained at the time of onboarding investor and hence not required at the current stage.
10. Nomination Form (whether investor wish to provide or strike off)	
11. 4 pager documentation (Scheme Specific)	This is required only in case of HDFC securities Ltd client. Other distributor not required.
12. Calling script (Scheme Specific)	This is required only in case of HDFC client. Other distributor not required.
13. PPM Receipt (Scheme Specific)	This is required only in case of HDFC client. Other distributor not required. In case of existing investor, risk profile and PPM receipt shall be obtained at the time of onboarding investor and

	hence not required at the current stage.
14. KYC and third-party declaration from Joint holding Bank account individuals	
15. Since the other joint holders are NRI, we would require NRE/NRO declaration from concerned Branch in which the client holds an account as the same has to be reported to RBI – Format attached	
16. PoA Registered Status (Yes/ No) If yes POA Name	CAMS - Internal checking
17. Pledge marked status (Yes/No)-If marked units to be mentioned, Post clearance of Pledge of units, will process the Transmission of units to surviving holder)	CAMS - Internal checking
18. AML Status (World Check) Clear (Yes/No)	CAMS - Internal checking
19. Surviving holder sign matched with application form (Yes/No)	CAMS - Internal checking

Transmission – Process Check list

- **Demise of Sole/All unit holders & Nominee/s registered**

Scheme Name:	
Class:	
Folio No:	
Investor Name:	
Joint holder 1:	
Nominee:	
Tax Status	Resident Individual
Commitment amount	
Distributor:	
Death Holder Name:	
Documents required	Received Status
1. Request letter for approval for units transmission (Trustee)	
2. Copy of death certificate duly attested by notary public / original death certificate.	
3. Pan card copy duly attested	
4. Address proof duly attested (Utility bills -latest by 3 months)	
5. Bank Account proof (Cancel Cheque/Bank Statement with all the details)	
6. KRA & CKYC Form duly filled & signed with IPV (If not registered already)/ KRA & CKYC Acknowledgement copy if already ckyc compliant	
7. Fatca declaration	
8. Investor Information Form with RM & SRM Name, Email and Mobile No etc., (for communication purpose)	
9. Risk profiler (Scheme Specific)	In case of existing investor, risk profile and PPM receipt shall be obtained at the time of onboarding investor and hence not required at the current stage.
10. Nomination Form (whether investor wish to provide or strike off)	
11. Indemnity Bond (Non Judicial Stamp Paper – Rs. 600/-)	
12. 4 pager documentation (Scheme Specific)	This is required only in case of HDFC client. Other distributor not required
13. Calling script (Scheme Specific)	This is required only in case of HDFC client. Other distributor not required
14. PPM Receipt (Scheme Specific)	In case of existing investor, risk profile and PPM receipt shall be obtained at the time of onboarding investor and hence not required at the current stage.

15. Since the other joint holders are NRI, we would require NRE/NRO declaration from concerned Branch in which the client holds an account as the same has to be reported to RBI – Format attached	
16. PoA Registered Status (Yes/ No) If yes POA Name	CAMS - Internal checking
17. Pledge marked status (Yes/No)-If marked units to be mentioned, Post clearance of Pledge of units, will process the Transmission of units to surviving holder)	CAMS - Internal checking
18. AML Status (World Check) Clear (Yes/No)	CAMS - Internal checking
19. Surviving holder sign matched with application form (Yes/No)	CAMS - Internal checking