

Internal Transfer of Mutual Fund Holdings from One Trading Account to another Trading Account

Date: _____

To,
Mutual Fund Operations Team,

UNIT NO.501, 601,701,801, 901, BUILDING NO.3, AT MINDSPACE JUINAGAR, PLOT NOS. GEN-2/1/D, GEN-2/1/E (PART) AND GEN-2/1/F (PART) TRANS THANE CREEK,
AT MIDC TTC INDUSTRIAL AREA, JUINAGAR, NAVI MUMBAI MAHARASHTRA 400706.

Dear Sir/Madam,

I/We hereby request you to transfer my Mutual Fund Holdings from the Trading Account Number _____ to Trading Account number _____.

Further, I/ We wish to change below details in my Mutual fund holdings.

I] Change in Tax /Residence Status as below: (tick whichever is applicable)

- ☐ Non-Resident Indian- NRE to Resident Individual - RI
- ☐ Non-Resident Indian- NRO to Resident Individual -RI
- ☐ Resident Individual - RI to Non-Resident Indian - NRO
- ☐ Not applicable

Note: Transfer of mutual fund holdings from RI to NRE account is not permitted as per FEMA Regulations.

My overseas address (In case change of tax status to NRO): _____

II] Change in Bank mandate (If applicable)

Name of the Bank: _____

Bank Account number: _____ IFSC Code: _____

Bank Branch: _____ MICR Code: _____

III] Change in Applicant name (If applicable)

Old name & Sign: _____

New name & Sign: _____

Contd on page 2

List of folios:

[illegible]

Thanking You,

Yours Sincerely,

Signature of 1st Applicant

Signature of 2nd Applicant

Signature of 3rdApplicant

Name of 1st Applicant

Name of 2nd Applicant

Name of 3rd Applicant

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Instructions:

1. Please ensure the new tax/residence status, new name & new address is updated in CVL-KRA before submitting request for change in MF Folios.
2. All the pages of supporting documents and request letter should be SELF ATTESTED by the client.
3. Along with the request, please enclose below supporting documents:

I. In case of change in Tax (Residence) status / Bank mandate please submit below documents:

a. Proof of Existing bank account/s that is registered in the folio/s & New bank account that is linked to the trading account. You may submit anyone of below documents:

(i) Original or banker attested copy of Letter from the banker mentioning the Account number, Holder's name, Bank Name, Branch Name, IFSC Code, MICR Code & Account Type duly signed by branch manager/authorized personnel with employee code, name & designation & bank seal.

(ii) Original or banker attested copy of Bank Passbook or Bank Account Statement (not older than 3 months) with Account number, Account Type & Holder's name printed on it & duly signed by branch manager/authorized personnel with employee code, name & designation & bank seal.

(iii) Original or banker attested copy of Cancelled Cheque Leaf with holder's name & Account Type (SB/SBNRO/SBNRE) printed on it.

(iv) If above proof is not available for old bank account due to account closure, then closure letter from bank can be submitted.

b. PAN card copy of all holders

c. Passport copy & Overseas address proof in case of change of tax status from Resident to Non-Resident Indian.

d. Self-declaration letter for change of tax status from Resident to Non-Resident Indian

II. In case of change in name please submit below documents:

a. Copy of PAN Card having new name updated on it.

b. Any one of the documents mentioned in point 1.a for the bank account linked to the trading account with new name mentioned on it.

c. Proof of name change as mentioned below-

(i) Original notarized or True copy or banker attested copy of marriage certificate for each AMC incase name is changed after marriage. Or

(ii) Original Notarized Indemnity Bond or Affidavit on Stamp paper of the below denomination for each AMC duly signed by all the holders in that folio specifying the change in name.

AMC	Transmission Indemnity Bond	Transmission Affidavit
HSBC	500	600
HDFC	200	200
ICICI Pru	300	100
SBI	100	100
L&T	300	100
TATA	300	300
KOTAK	300	100
DSP	20	20
JP MORGAN	500	500
Other CAMS AMCs	100	100
SUNDARAM	20	20
BNP	Mumbai - 300	100
	Delhi - 150	100
	Kolkata - 15	100
	Chennai - 15	100
	Bangalore - 200	200
FRANKLIN	200	100
KARVY	200	300

III. In case of change of Address for KYC non- compliant customer please submit:

- a. Address Proof (Latest Landline Telephone Bill/ Electricity Bill/ Bank Passbook/ Bank
- b. Account Statement/ Demat Account Statement/ Passport/ Driving License/ Voter Identity Ration Card).

Card /

Annexure II -INDEMNITY BOND

To,

AMC Name:

Dear Sir/Madam

Re: Change of name - Folio Nos. _____

Whereas, I, _____, s/d/o _____
 _____ aged _____ years, residing at _____
 _____, have made an investment in
 scheme _____
 (hereinafter called as 'the said Scheme(s)'), of AMC _____.

Whereas the units under the said scheme(s) in the above-referred folios have been allotted in the name of _____
 _____ instead of _____
 _____ because of the above-said error.

Whereas, I/my broker have/has erroneously written my name in the application form no. _____ dated _____
 _____, as _____, instead of _____
 _____ and the application form is under my signature.

NOW in consideration of _____ (the AMC) allotting units in my correct name i.e. _____ under the said scheme(s) in the above-referred folios, I, DO SOLEMNLY AFFIRM, UNDERTAKE AND DECLARE ON BEHALF OF MYSELF, MY SUCCESSORS, ASSIGNS AND EXECUTORS THAT:

I shall at all times hereafter save, defend and keep harmless and indemnified the AMC/ Trustees of _____ and its employees, Directors, Officers against any losses, damages, costs or expenses which may be suffered or incurred by them as a result of claims, legal costs, fines, penalties raised by any investor(s)/ claimant/third party or by any regulatory or administrative authority and for any other incident of a financial nature which they may be required to meet in connection with the AMC having allotted the units in the name of _____ under the said Scheme(s) in the above referred folios. Such costs may exceed the value of the transaction itself which I agree to indemnify, unconditionally and irrevocably and without recourse to any further litigation if a claim is made by the AMC.

I agree that it is only upon the above assertion being made by me that the AMC is permitting such a change and changing the name on good faith and is subject to approval by the Trustees of AMC:

_____, if necessary, and confirms that the above facts may be filed by AMC :
 _____ with the appropriate regulatory authority/ies.

I confirm that neither will I be violating any laws/rules/regulations by seeking such a name change nor do I intend to evade any taxes/cesses or any other statutory dues/charges.

I shall hold the AMC/ Trustees of AMC: _____ and its employees harmless and fully indemnified against claims and damages which may be made in respect hereof by any person(s)/third party claiming to be the Beneficial holder of the said Investment or in any way interested therein.

And, I, undertake that, this Indemnity shall be enforceable against me and my respective Successors and Assigns and the benefits of this Indemnity shall inure for the benefit of the AMC, its successors and assigns and shall be irrevocable until discharge by them of all obligations devolving upon hereunder.

This indemnity and all rights and liabilities attached to this indemnity in case of dispute shall be enforceable at Mumbai and the dispute, if any, shall be triable by competent court having its jurisdiction in and over Mumbai.

IN WITNESS WHEREOF I, _____, execute these presents on the _____ day of _____.

Signed and delivered by the following

Name: _____
Address: _____

Signature: _____
In presence of: _____

VERIFICATION

I Solemnly verify and confirm that what has been stated above are true and correct to the best of my knowledge and belief and nothing material has been concealed.

Date: _____

Place: _____

Signature of Deponent(s)

Signature and Seal of Notary

me

Public / Magistrate Before