Know Your Client (KYC) Application Form

(For Non-Individuals Only)

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS (All Information as applicable in Sections A, B and C below is mandatory)

The information is sought under Prevention of Money Laundering Act, 2002, the rules notified thereunder and SEBI's guidelines on Anti Money Laundering.

For existing Mutual Fund investors, the address(es) furnished herein will be replaced in the records of the Mutual Fund / Authorised Agent. (Refer Notes / Guidelines overleaf)

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

A. Identity Details (Please see guidelines A1 to A4 overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. Date of Incorporation / Registration D D / M M / Y Y Y Y

Whether Listed on NSE ☐ YES ☐ NO Scrip Symbol

Registration Number issued by Registering Authority

3. Status Please tick (✓) ☐ Company ☐ Body Corporate ☐ Partnership ☐ Trust ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation ☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ Others (Please specify) _____

4. Permanent Account Number (PAN) (MANDATORY) ☐ Copy of PAN Card attached

B. Address Details (Please see guidelines B1 to B3 overleaf)

1. Address for Correspondence

City / Town / Village | Postal Code

State | Country

2. Contact Details

Contact Person Mr. / Ms.

Tel. (Off.) (ISD) (STD) | Tel. (Res.) (ISD) (STD)

Mobile (ISD) (STD) | Fax (ISD) (STD)

E-Mail Id.

3. Permanent / Registered Address of Applicant (in case of Overseas Address, Proof of Address is a must) - Mandatory for FIIs

City / Town / Village | Postal Code

State | Country

C. Other Details (Please see guidelines C1 and C2 overleaf)

1. Gross Annual Income Details Please tick (✓)

☐ Upto Rs. 50,00,000 ☐ Rs. 50,00,001 to Rs. 2,50,00,000 ☐ Rs. 2,50,00,001 to Rs. 10,00,00,000 ☐ Rs. 10,00,00,001 to Rs. 50,00,00,000 ☐ Rs. 50,00,00,001 and above.

2. Mandatory Certified Documents to be submitted, as applicable (Please tick (✓) against documents attached)

i.	**Hindu Undivided Family (HUF)**	☐ Deed of Declaration ☐ Latest Bank Passbook / Latest Bank account statement
ii.	**Company / Body Corporates**	☐ Certificate of Incorporation ☐ Memorandum & Articles of Association ☐ Resolution of the Board of Directors ☐ Authorised Signatory List with specimen signatures
iii.	**Partnership firms**	☐ Certificate of registration ☐ Partnership deed ☐ Documents evidencing authority to invest ☐ Authorised Signatory List with specimen signatures
iv.	**Trusts, foundations, NGOs, Charitable Bodies, Clubs / Mutual Fund Schemes**	☐ Certificate of registration ☐ Trust deed ☐ Authorised Signatory List with specimen signatures
v.	**Unincorporated association or a body of individuals**	☐ Proof of Existence / Constitution Document ☐ Documents evidencing authority to invest ☐ Authorised Signatory list with specimen signature
vi.	**Foreign Institutional Investors (FIIs)**	☐ Letter and Certificate of Registration issued by SEBI ☐ Authorised Signatory list with specimen signature
vii.	**Scheduled Commercial Banks and Registered Financial Institutions not incorporated under the Companies Act, 1956 / Regulatory Bodies / Army / Government Bodies / Any other bodies created / incorporated / registered under state or central legislation being eligible to invest in Mutual Funds**	☐ Copy of Constitution / registration documents ☐ Documents evidencing authority to invest ☐ List of authorized signatories

DECLARATION

We hereby confirm that we have read and understood the Instructions mentioned overleaf and apply to CDSL Ventures Limited ('CVL') or other agent of the mutual fund registered under the SEBI (Mutual Funds) Regulations, 1996 for compliance of Know Your Client (KYC) procedure for transacting in units issued by Mutual Funds and we agree to abide by the terms, conditions, rules, regulations and other statutory requirements applicable to the respective Mutual Funds. We hereby declare that the particulars given herein are true, correct and complete to the best of our knowledge and belief, the documents submitted along with this application are genuine and we are not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any Notifications, Directions issued by any governmental or statutory authority from time to time. We hereby undertake to promptly inform CVL / the mutual fund agent of any changes to the information provided hereinabove and agree and accept that CVL, the respective Mutual Funds, their authorised agents and representatives ('the Authorised Parties') are not liable or responsible for any losses, costs, damages arising out of any actions undertaken or activities performed by them on the basis of the information provided by us as also due to us not intimating / delay in intimating such changes. We hereby authorize CVL / the mutual fund agent to disclose, share, remit in any form, mode or manner, all / any of the information provided by us to the respective Mutual Funds in which we may transact / have transacted and / or to their authorised agents and representatives including all changes, updates to such information as and when provided by us. We hereby agree to provide any additional information / documentation that may be required by the Authorised Parties, in connection with this application.

SIGNATURE(S) OF AUTHORISED PERSON(S)

Place :

Date :

For Office Use Only

Stamp of POS (Name & Location) & Receiver's Signature

Name and Employee Number of Receiver

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

KYC Ref.

IMPORTANT NOTES – PLEASE READ BEFORE FILLING UP THE FORM

1. This KYC Application Form is for use by **NON-INDIVIDUALS** only. A separate form is provided for **INDIVIDUALS.**
2. This form is not an Investment Application Form, and is only meant for providing information and documents required for KYC compliance. Applicant must be KYC compliant while investing with any SEBI registered Mutual Fund which has subscribed to the services of CDSL Ventures Limited (CVL) for compliance of the KYC procedure. A list of Mutual Funds is available on the website of AMFI at **www.amfiindia.com.**
3. Subscription to Mutual Fund Units may be made only after obtaining the KYC Acknowledgement at their respective designated Points of Acceptance / Investor Service Centres.
4. Investors must attach their KYC Acknowledgement along with the Investment Application Form(s) / Transaction Slip(s) while investing for the first time in every folio. Applications Forms / Transaction Slips not accompanied by KYC Acknowledgement are liable to be rejected by the Mutual Funds.
5. **Power of Attorney (PoA) Holder:** Investors desirous of investing through a PoA must note that the KYC requirements are mandatory for both the PoA issuer (i.e. Investor) and the Attorney (i.e. the holder of PoA), both of whom should be KYC compliant.
6. Mutual Funds require investors to provide their identity and address information, supported by documentary evidence for the "Know Your Client" requirements laid down by the Prevention of Money Laundering Act, 2002 (PMLA). They reserve the right to seek any additional information / documentation in terms of the PMLA at any point of time.
7. Mutual Funds/ CVL will not be liable for any errors or omissions on the part of the applicant / Unit holders in the KYC Application Form. Documents received in support of KYC requirements will be verified at the designated "Points of Service" (PoS) on a best effort basis. However acceptance and processing of the KYC Application Form is subject to independent verification by CVL. In the event of any KYC Application Form being rejected for lack of information / deficiency / insufficiency of mandatory documentation, etc. CVL will inform the applicant of such rejection.
8. The Mutual Fund, its Asset Management Company (AMC), Trustee Company and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios / rejection of any application / non-allotment of units or mandatory redemption of units / refund due to non-compliance with the provisions of the PMLA, SEBI guidelines or where the AMC / Mutual Fund believes that transaction(s) by an applicant / investors is / are suspicious in nature within the purview of the PMLA and SEBI guidelines and requires reporting the same to Financial Intelligence Unit - India (FIU-IND).
9. Once the investor is KYC compliant, it will be required to intimate its KYC details to all the Mutual Funds with whom it has investments. The KYC Compliance will be deemed to have been completed for the investor in all folios held by it (identified by its PAN) in the records of the Mutual Fund.

GUIDELINES FOR FILLING UP THE KYC APPLICATION FORM

General

1. The Application Form should be completed in **ENGLISH** and in **BLOCK LETTERS**.
2. Please tick in the appropriate box wherever applicable.
3. Please fill the form in legible handwriting so as to avoid errors in your application processing. Please do not overwrite. Corrections should be made by canceling and re-writing, and such corrections should be countersigned by the applicant.
4. Applications incomplete in any respect and / or not accompanied by required documents are liable to be rejected.
5. Applications complete in all respects and carrying necessary documentary attachments should be submitted at the designated PoS. A complete list of PoS is available on the website of AMFI at **www.amfiindia.com**, **www.cdslindia.com and Mutual Fund websites.**

A. Identity Details

1. Name : **This should match exactly with the name as mentioned in the PAN Card and other supporting documents; otherwise the application is liable to be rejected. If the PAN Card and other supporting document has a name by which the applicant has been known differently in the past, than the one provided in this Application Form, then requisite proof should be provided, e.g. Name Change Certificate.**
2. Please mention the date of incorporation or registration of your organisation. If your company is listed on the National Stock Exchange of India Limited, please mention the scrip symbol.
3. Please indicate the Status as applicable.
4. It is **MANDATORY** to mention your PAN in the space provided and attach a self attested photocopy of the PAN Card. Please also submit your original PAN Card which will be returned across the counter after verification.

B. Address Details

1. Address for Communication : Please provide here the address where you wish to receive all communications sent by the Mutual Funds with whom you invest. The address you give here will supercede existing information in the records of the Mutual Fund / Registrars and Transfer Agent to the Mutual Fund. This address should match with the address in the 'Proof-of-Address' submitted as supporting document; otherwise the KYC Application Form is liable to be rejected.
2. Contact Details: Please provide the Contact Person's Name / Telephone / E-mail contact details for the Mutual Fund to communicate with you. The contact details given by you here **will not supercede** existing information in the records of the Mutual Fund / Registrars and Transfer Agent to the Mutual Fund. You will have to independently communicate the same to them in case of any change(s).
3. Permanent Address / Registered Address / Overseas Address: FIIs / other entities must quote their Permanent Overseas Address supported by required documents duly certified.

C. Other Details

1. Gross Annual Income details: Please tick the applicable box indicating your Gross Annual Income (including both taxable and tax-free incomes).
2. All documents indicated here are **MANDATORY**. Please ensure that you submit the documents as under:
   - Original Documents + Self-attested photocopies (Originals will be returned over-the-counter after verification) **OR**
   - True Copies attested by Company Secretary / Director / Notary Public / Gazetted Officer / Manager of a Scheduled Commercial Bank (Name, Designation and Seal should be affixed on the copy). Unattested photocopies of an original document are not acceptable .
   - If the above documents including attestation / certifications are in regional language or foreign language then the same must be translated into English for submission.

   After you have completed filling up the Form, please submit the same along with the entire set of supporting documents to any designated PoS. Please also submit a photocopy of the Form for acknowledgement purposes, which you can retain for your records.

   Other important notes, after the KYC Acknowledgement is issued to you:

1. Please preserve the document from CVL which confirms your KYC compliance. Please attach photocopies of this document when you invest for the first time in every folio, in any Mutual Fund.
2. If you observe any error in the details as captured by CVL, you are requested to approach the nearest designated PoS.
3. If you are already holding investments in any Mutual Fund, please provide a copy of your KYC acknowledgement, giving details of your folio / account numbers to such Funds or their Registrars. Please note that your signature on the KYC Application Form should match with that on the records of the Mutual Fund.
4. In respect of new investors, signature on the Application Form for investing / transacting in Mutual Fund should match with that on this KYC Application Form.
5. After allotment of KYC compliance, if there are any changes in an Applicant's details such as Name, Address, Status, Income bracket, Occupation or Signature, the change should be registered with CVL through a designated PoS expeditiously, by using the KYC Details Change form. **It should be noted that only after such registration will the change be reflected in the Mutual Fund's records. Particularly with respect to change of address, investors should register such change giving 10 days time for the subsequent communications from Mutual Funds to reach them at their new address.** Original / Attested copies of documents supporting the change will be required to be submitted together with the KYC Details Change Form. **For any other investment related information or changes thereto, the applicant should approach the Mutual Funds or their Registrars.**

CHECKLIST
(Before submitting this Form, please go through the following checklist)

1. Please ensure that the form is completed in all respects and signed by the authorised signatories.
2. Foreign Institutional Investors must mention their overseas address in B(2).
3. Please attach all required documents. These should be either original + photocopies or attested / notarised photocopies.
4. Please submit a photocopy of the duly completed KYC Application Form.

For assistance or enquiries please approach the Point of Service where you had submitted your KYC Application Form.

alok graphics