



(Including Sole Proprietor) (Refer to instructions)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

Name		First Name				Middle Name				Last Name							
Gender (Please ✓)	M F O	PAN				Occupation Type				Service		Business		Others			
Father's Name		First Name				Middle Name				Last Name							
Cust. ID / Folio No.																	
Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes																	
Type of address given at KRA (Please ✓)		Residential or Business				Residential				Business				Registered Office			
Permissible documents are		Passport		Election ID Card		PAN Card		Govt. ID Card		Driving License		UIDAI Card		NREGA Job Card		Others	
Date of Birth		D D M M Y Y Y Y				Place of Birth											
Country of Birth						Nationality											
Are you a tax resident of any country other than India? (Please ✓)		YES				NO											

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below:

Country #	Tax Identification Number <sup>A</sup>	Identification Type (TIN or Other, please specify)

# To also include USA, where the individual is a citizen / green card holder of The USA

<sup>A</sup> In case Tax Identification Number is not available, kindly provide its functional equivalent \$

<b>Name</b>		First Name										Middle Name										Last Name																			
<b>Gender</b> (Please ✓)	M F O	<b>PAN</b>										<b>Occupation Type</b>										Service Business Others																			
<b>Father's Name</b>		First Name										Middle Name										Last Name																			
<b>Cust. ID / Folio No.</b>																																									
Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes																																									
<b>Type of address given at KRA</b> (Please ✓)		Residential or Business										Residential										Business										Registered Office									
<b>Permissible documents are</b>		<input type="checkbox"/> Passport <input type="checkbox"/> Election ID Card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others																																							
<b>Date of Birth</b>		D D M M Y Y Y Y Y										<b>Place of Birth</b>																													
<b>Country of Birth</b>												<b>Nationality</b>																													
<b>Are you a tax resident of any country other than India?</b> (Please ✓)		YES										NO																													

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below:

Country #	Tax Identification Number <sup>A</sup>	Identification Type (TIN or Other, please specify)

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Name		First Name				Middle Name				Last Name							
Gender (Please ✓)	M	F	O	PAN							Occupation Type		Service		Business		Others
Father's Name		First Name				Middle Name				Last Name							
Cust. ID / Folio No.																	
Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes																	
Type of address given at KRA (Please ✓)		Residential or Business				Residential				Business				Registered Office			
Permissible documents are		<input type="checkbox"/> Passport <input type="checkbox"/> Election ID Card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others															
Date of Birth		D D M M Y Y Y Y				Place of Birth											
Country of Birth						Nationality											
Are you a tax resident of any country other than India? (Please ✓)		YES				NO											

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below:

Country #	Tax Identification Number^	Identification Type (TIN or Other, please specify)

# To also include USA, where the individual is a citizen / green card holder of The USA

<sup>A</sup> In case Tax Identification Number is not available, kindly provide its functional equivalent \$

## CERTIFICATION

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

### Signatures

First / Sole Applicant / Guardian	Second Applicant	Third Applicant

Date: 

D	D	M	M	Y	Y	Y	Y
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Place:

## FATCA & CRS TERMS & CONDITIONS

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

## FATCA & CRS INSTRUCTIONS

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

\$It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA / CRS indicia
U.S. place of birth	<ol style="list-style-type: none"><li>Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li><li>Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND</li><li>Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth</li></ol>
Residence / mailing address in a country other than India	<ol style="list-style-type: none"><li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li><li>Documentary evidence (refer list below)</li></ol>
Telephone number in a country other than India	<p><b>If no Indian telephone number is provided</b></p> <ol style="list-style-type: none"><li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li><li>Documentary evidence (refer list below)</li></ol> <p><b>If Indian telephone number is provided along with a foreign country telephone number</b></p> <ol style="list-style-type: none"><li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR</li><li>Documentary evidence (refer list below)</li></ol>
Telephone number in a country other than India	<ol style="list-style-type: none"><li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li><li>Documentary evidence (refer list below)</li></ol>

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorized government body\*
- Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

**\* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

AMC contact address & call centre details.	Blank space for your branch or any other details.



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

#### (\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.



# KYC Details Change form (For Individuals Only)



Place for  
Intermediary Logo

Application No. :

Please fill this update / modification form in ENGLISH and in BLOCK LETTERS (Please strike off Sections that are not used).

## A Name of Applicant (Mandatory as per original KYC records)

Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Other (Please specify)	Aadhaar Number, if any:		PAN	
Name					
Date of Birth	d d / m m / y y y y				

Please Provide the new KYC details which should be updated in your KYC records.

## B. Mandatory fields for KYCs done before 1<sup>st</sup> January 2012

1. Father's/Spouse Name					
2. Current Marital status	<input type="checkbox"/> Single <input type="checkbox"/> Married	3. Current Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify)		
Note "FOR OFFICE USE ONLY": The IPV Column should be mandatorily filled for all KYCs registered before 1st January 2012. Originals Seen and Verified should be mandatorily filled for changes to Identity and Address details.					

## C. Identity Details (please see guidelines overleaf)

1. New Name (As appearing in supporting identification document).					
2. New Status	Please tick (✓) <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident (Passport Copy Mandatory for NRIs & Foreign Nationals)				
3. PAN		Please enclose a duly attested copy of your PAN Card			
4. Proof of Identity submitted for PAN exempt cases	Please Tick (✓)				
<input type="checkbox"/> Aadhaar Card <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> Others	(Please see guideline 'D' overleaf)				

## D. Address Details (please see guidelines overleaf)

1. New Address for Residence/Correspondence					
City / Town / Village				Country	Pin Code
State					
2. Contact Details					
Tel. (Off.) (ISD) (STD)			Tel. (Res.) (ISD) (STD)		
Mobile (ISD) (STD)			Fax (ISD) (STD)		
E-Mail Id.					
3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.					
<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Registered Lease/Sale Agreement of Residence <input type="checkbox"/> Driving License <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> *Latest Bank A/c Statement/Passbook					
<input type="checkbox"/> *Latest Telephone Bill (only Land Line) <input type="checkbox"/> *Latest Electricity Bill <input type="checkbox"/> *Latest Gas Bill <input type="checkbox"/> Others (Please specify)					
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted	d d / m m / y y y y				
4. New Permanent Address of Resident Individual OR Overseas Address (Mandatory) for Non-Resident Individual					
City / Town / Village				Country	Pin Code
State					
5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.					
<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Registered Lease/Sale Agreement of Residence <input type="checkbox"/> Driving License <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> *Latest Bank A/c Statement/Passbook					
<input type="checkbox"/> *Latest Telephone Bill (only Land Line) <input type="checkbox"/> *Latest Electricity Bill <input type="checkbox"/> *Latest Gas Bill <input type="checkbox"/> Others (Please specify)					
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted	d d / m m / y y y y				
6. Any other information:					

## SIGNATURE OF APPLICANT

Old signature as per original KYC  
Wherever Applicable

## DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date: d d / m m / y y y y

## SIGNATURE OF APPLICANT

## FOR OFFICE USE ONLY

IPV Done ☐ on d d / m m / y y y y

AMC/Intermediary name OR code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

**A. IMPORTANT POINTS:**

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2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

**B. Proof of Identity (POI): List of documents admissible as Proof of Identity:**

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Aadhaar Number / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

**C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)**

1. Aadhaar Number / Passport / Voters Identity Card/Ration

Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

**D. Exemptions/clarifications to PAN**

**(\*Sufficient documentary evidence in support of such claims to be collected.)**

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.



DATE :        /        /

**1. UNIT HOLDER INFORMATION**

**a. EXISTING UNIT HOLDER INFORMATION**

PAN

Any information provided at PAN level, will be updated in all the Folios where the PAN is Registered.

**b. NAME OF FIRST / SOLE APPLICANT**

Mr. Ms. M/s.

Application Form No.

**2. FIRST/ SOLE APPLICANT OTHER DETAILS (Mandatory)**

**a. Status of First/ Sole Applicant [Please tick (✓)]** ☐ Individual ☐ Non - Individual

☐ Resident Individual ☐ NRI-Repatriation ☐ NRI-Non Repatriation ☐ Partnership ☐ Trust ☐ HUF ☐ AOP ☐ PIO ☐ Company ☐ FIs ☐ Minor through guardian ☐ BOI ☐ OCI  
☐ Body Corporate ☐ LLP ☐ Society / Club ☐ FPI ☐ Sole Proprietorship ☐ Non Profit Organisation ☐ Others \_\_\_\_\_ (please specify)

**b. Occupation Details [Please tick (✓)]** ☐ Service ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Student ☐ Professional ☐ Housewife ☐ Business  
☐ Retired ☐ Agriculture ☐ Proprietorship ☐ Others \_\_\_\_\_ (please specify)

**c. Gross Annual Income (Rs.) [Please tick (✓)]** ☐ Below 1 Lakh ☐ 1 - 5 Lakhs ☐ 5 - 10 Lakhs ☐ 10 - 25 Lakhs ☐ >25 Lakhs - 1 Crore ☐ >1 Crore

OR

**c. Net-worth** (Mandatory for Non-Individuals) Rs. \_\_\_\_\_ as on       (Not older than 1 year)  
DD MM YYYY

**d. Politically Exposed Person (PEP) Status** (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors) ☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

**e. Investors involved/ providing any of the mentioned services**

☐ Wholesalers OR ☐ Retailers in Precious metals (in particular buying-selling gold) and gems ☐ Wholesalers OR ☐ Retailers in Luxury cars  
☐ Wholesalers OR ☐ Retailers in Boats ☐ Wholesalers OR ☐ Retailers in Race-horses ☐ Wholesalers OR ☐ Retailers in Jewellery

☐ Money Service Businesses (MSB) & their agents (excluding Banks) ☐ Currency dealers or exchanges ☐ Sellers or redeemers of traveler's cheques  
☐ Money orders / remittance services

☐ Pawn shops ☐ Street market stall ☐ Hotels ☐ Restaurants ☐ Internet cafés ☐ Door-to-door sales companies ☐ Taxi ☐ Bars ☐ Night-clubs  
☐ Second-hand goods sales ☐ Second-hand vehicle dealers (excluding automobile franchise)

☐ Casinos ☐ Lotteries ☐ Gaming clubs ☐ Slot machines ☐ Antiques ☐ Art galleries ☐ Art dealers ☐ Auctioneer ☐ Art expert

**3. DETAILS OF SECOND APPLICANT, If any**

**a. Occupation Details [Please tick (✓)]** ☐ Service ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Student ☐ Professional ☐ Housewife ☐ Business  
☐ Retired ☐ Agriculture ☐ Proprietorship ☐ Others \_\_\_\_\_ (please specify)

**b. Gross Annual Income (Rs.)** ☐ Below 1 Lakh ☐ 1 - 5 Lakhs ☐ 5 - 10 Lakhs ☐ 10 - 25 Lakhs ☐ >25 Lakhs - 1 Crore ☐ >1 Crore OR Net worth Rs. \_\_\_\_\_

**c. Politically Exposed Person (PEP) Status** (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors) ☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

**d. Investors involved/ providing any of the mentioned services**

☐ Wholesalers OR ☐ Retailers in Precious metals (in particular buying-selling gold) and gems ☐ Wholesalers OR ☐ Retailers in Luxury cars  
☐ Wholesalers OR ☐ Retailers in Boats ☐ Wholesalers OR ☐ Retailers in Race-horses ☐ Wholesalers OR ☐ Retailers in Jewellery

☐ Money Service Businesses (MSB) & their agents (excluding Banks) ☐ Currency dealers or exchanges ☐ Sellers or redeemers of traveler's cheques  
☐ Money orders / remittance services

☐ Pawn shops ☐ Street market stall ☐ Hotels ☐ Restaurants ☐ Internet cafés ☐ Door-to-door sales companies ☐ Taxi ☐ Bars ☐ Night-clubs  
☐ Second-hand goods sales ☐ Second-hand vehicle dealers (excluding automobile franchise)

☐ Casinos ☐ Lotteries ☐ Gaming clubs ☐ Slot machines ☐ Antiques ☐ Art galleries ☐ Art dealers ☐ Auctioneer ☐ Art expert



#### 4. DETAILS OF THIRD APPLICANT, If any

**a. Occupation Details [Please tick (✓)]** ☐ Service ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Student ☐ Professional ☐ Housewife ☐ Business  
☐ Retired ☐ Agriculture ☐ Proprietorship ☐ Others \_\_\_\_\_ (please specify)

**b. Gross Annual Income (Rs.)** ☐ Below 1 Lakh ☐ 1 - 5 Lakhs ☐ 5 - 10 Lakhs ☐ 10 - 25 Lakhs ☐ >25 Lakhs - 1 Crore ☐ >1 Crore **OR** Net worth Rs. \_\_\_\_\_

**c. Politically Exposed Person (PEP) Status** (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors) ☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

**d. Investors involved/ providing any of the mentioned services**

- |  |  |
|--|--|
| <input type="checkbox"/> Wholesalers <b>OR</b> <input type="checkbox"/> Retailers in Precious metals (in particular buying-selling gold) and gems  | <input type="checkbox"/> Wholesalers <b>OR</b> <input type="checkbox"/> Retailers in Luxury cars |
| <input type="checkbox"/> Wholesalers <b>OR</b> <input type="checkbox"/> Retailers in Boats   | <input type="checkbox"/> Wholesalers <b>OR</b> <input type="checkbox"/> Retailers in Race-horses |
| <input type="checkbox"/> Money Service Businesses (MSB) & their agents (excluding Banks)   | <input type="checkbox"/> Currency dealers or exchanges   |
| <input type="checkbox"/> Money orders / remittance services  | <input type="checkbox"/> Sellers or redeemers of traveler's cheques                              |
| <br>   |  |
| <input type="checkbox"/> Pawn shops <input type="checkbox"/> Street market stall <input type="checkbox"/> Hotels <input type="checkbox"/> Restaurants <input type="checkbox"/> Internet cafés <input type="checkbox"/> Door-to-door sales companies <input type="checkbox"/> Taxi <input type="checkbox"/> Bars <input type="checkbox"/> Night-clubs |  |
| <input type="checkbox"/> Second-hand goods sales <input type="checkbox"/> Second-hand vehicle dealers (excluding automobile franchise)   |  |
| <br>   |  |
| <input type="checkbox"/> Casinos <input type="checkbox"/> Lotteries <input type="checkbox"/> Gaming clubs <input type="checkbox"/> Slot machines <input type="checkbox"/> Antiques <input type="checkbox"/> Art galleries <input type="checkbox"/> Art dealers <input type="checkbox"/> Auctioneer <input type="checkbox"/> Art expert               |  |

#### DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

\_\_\_\_\_  
First / Sole Applicant / Guardian

\_\_\_\_\_  
Second Applicant

\_\_\_\_\_  
Third Applicant

#### INSTRUCTIONS

In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/networth and Politically Exposed Person (PEP)\* status mentioned under section 2 & 3 which was forming part of uniform KYC form will now be captured in the application form of the Fund. Also, the detail of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc., (applicable for all applicants) is required to be provided as part of Client Due Diligence (CDD) Process of the Fund.

The said details are mandatory for both Individual and Non Individual applicants.

\*PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.