# FATCA & CRS Annexure for Individual Accounts

BARODA PIONEER MUTUAL FUND

(Including Sole Proprietor) (Refer to instructions)

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

बैंक ऑफ़ बड़ौदा Bank of Baroda

PIONEER Investments®

## FIRST / SOLE APPLICANT / GUARDIAN

Name

Gender ☐ Male ☐ Female ☐ Others PAN Occupation Type ☐ Service ☐ Business ☐ Others

Father's Name

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 ☐ 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 specify

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?** ☐ 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 %In case Tax Identification Number is not available, kindly provide its functional equivalent $

## SECOND APPLICANT

Name

Gender ☐ Male ☐ Female ☐ Others PAN Occupation Type ☐ Service ☐ Business ☐ Others

Father's Name

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 ☐ 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 specify

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?** ☐ 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 %In case Tax Identification Number is not available, kindly provide its functional equivalent $

## THIRD APPLICANT

Name

Gender ☐ Male ☐ Female ☐ Others PAN Occupation Type ☐ Service ☐ Business ☐ Others

Father's Name

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 ☐ 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 specify

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?** ☐ 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 %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 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 Investment Entities 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 Baroda Pioneer Mutual Fund 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 greencard 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** | 1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;<br>2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND<br>3. Any one of the following documents:<br>Certified Copy of "Certificate of Loss of Nationality".<br>or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship;<br>or Reason the customer did not obtain U.S. citizenship at birth |
| **Residence/mailing address in a country other than India** | 1. 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<br>2. Documentary evidence (refer list below) |
| **Telephone number in a country other than India** | **If no Indian telephone number is provided**<br>1. 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<br>2. Documentary evidence (refer list below)<br>**If Indian telephone number is provided along with a foreign country telephone number**<br>1. 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**<br>2. Documentary evidence (refer list below) |
| **Telephone number in a country other than India** | 1. 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<br>2. Documentary evidence (refer list below) |

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

1. Certificate of residence issued by an authorized government body*
2. 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

| | | |
|---|---|---|
| Baroda Pioneer Asset Management Company Limited<br>CIN : U65991MH1992PLC069414<br>501, Titanium, 5th Floor,<br>Western Express Highway, Goregaon (E),<br>Mumbai - 400063. Tel. No.: 91 22 3074 1000 | Baroda Pioneer Asset Management Company Limited<br>Flat No. 103 & 104, First Floor,<br>Prakash Deep Building,<br>7 Tolstoy Marg, New Delhi - 110001.<br>Phone: 011-43514662 | Baroda Pioneer Asset Management Company Limited<br>HP Complex, Flat No.12, 3rd Floor,<br>Door No. 124/1, 2 & 3 New No. 14,<br>G. N. Chetty Road,T. Nagar, Chennai - 600 017.<br>Phone: 044 - 2834 3530, Fax: 044 - 2834 3539 |

**Visit us at : www.barodapioneer.in • Email:info@barodapioneer.in**

## Call Center Details & Toll Free No. :

| | |
|---|---|
| **Toll Free Number No. : 1800 2670 189** | **Monday to Saturday between 9.00 a.m. to 6.00 p.m.** |

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

**Important Instructions:**

(This KYC form is modelled on the lines of CERSAI's prescribed CKYC form. However, few additional details have been incorporated in the form to conform to the KYC requirements as applicable to Mutual Funds)

A) Fields marked with '*' are mandatory fields.
B) Please fill the form in English and in BLOCK letters.
C) Please fill the date in DD-MM-YYYY format.
D) Please read section wise detailed guidelines / instructions at the end.
E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
F) List of two character ISO 3166 country codes is available at the end.
G) KYC number of applicant is mandatory for update application.
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**
*(To be filled by financial institution)*

Application Type* ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

### ☐ 1. PERSONAL DETAILS (Please refer instruction **A** at the end)

| | Prefix | First Name | Middle Name | Last Name |
|---|---|---|---|---|
| ☐ Name* (Same as ID proof) | | | | |
| Maiden Name (If any*) | | | | |
| Father / Spouse Name* | | | | |
| Mother Name* | | | | |

Date of Birth* D D – M M – Y Y Y Y  PAN Card* -

**PHOTO**

Signature / Thumb Impression

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code )

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service ( ☐ Private Sector ☐ Public Sector ☐ Government Sector ) ☐ O-Others ( ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student) ☐ B-Business ☐ X- Not Categorised

### ☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction **B** at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth*  ISO 3166 Country Code of Birth*

### ☐ 3. PROOF OF IDENTITY (PoI)* (Please refer instruction **C** at the end)

*(Certified copy of <u>any one</u> of the following Proof of Identity[PoI] needs to be submitted)*

☐ A- Passport Number  Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence  Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government)  Identification Number
☐ S- Simplified Measures Account - Document Type code  Identification Number

### 4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction **D** at the end)

*(Certified copy of <u>any one</u> of the following Proof of Address [PoA] needs to be submitted)*

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify ☐ Simplified Measures Account - Document Type code

**Address**

Line 1*
Line 2
Line 3  City / Town / Village*
District*  Pin / Post Code*  State / U.T Code*  ISO 3166 Country Code*

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction **E** at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill '**Annexure A1**')

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

☐ **5. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure B1' ) (please refer instruction **G** at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (**H**) at the end)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ **7. REMARKS (If any)**

## 8. APPLICANT 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.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D – M M – Y Y Y Y Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

## 9. ATTESTATION / FOR OFFICE USE ONLY

**Documents Received** ☐ Certified Copies

KYC IN PERSON VERFICATION (IPV) CARRIED OUT BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

# CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

**General Instructions:**

1. Fields marked with '*' are mandatory fields.
2. Tick '✓' wherever applicable.
3. Self-Certification of documents is mandatory.
4. Please fill the form in English and in BLOCK Letters.
5. Please fill all dates in DD-MM-YYYY format.
6. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7. KYC number of applicant is mandatory for updation of KYC details.
8. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
9. In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling 'Personal Details' section**

1. **Name**: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

1. **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section**

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
3. In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

| Document Code | Description |
|---|---|
| 01 | Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions. |
| 02 | Letter issued by a gazetted officer, with a duly attested photograph of the person. |

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

| Document Code | Description |
|---|---|
| 01 | Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill). |
| 02 | Property or Municipal Tax receipt. |
| 03 | Bank account or Post Office savings bank account statement. |
| 04 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 05 | Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation. |
| 06 | Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India. |

**E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill '**Annexure A1'**

**F Clarification / Guidelines on filling 'Contact details' section**

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

**G Clarification / Guidelines on filling 'Related Person details' section**

1. Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section**

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

## List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

| State / U.T | Code |
|---|---|
| Andaman & Nicobar | AN |
| Andhra Pradesh | AP |
| Arunachal Pradesh | AR |
| Assam | AS |
| Bihar | BR |
| Chandigarh | CH |
| Chattisgarh | CG |
| Dadra and Nagar Haveli | DN |
| Daman & Diu | DD |
| Delhi | DL |
| Goa | GA |
| Gujarat | GJ |
| Haryana | HR |

| State / U.T | Code |
|---|---|
| Himachal Pradesh | HP |
| Jammu & Kashmir | JK |
| Jharkhand | JH |
| Karnataka | KA |
| Kerala | KL |
| Lakshadweep | LD |
| Madhya Pradesh | MP |
| Maharashtra | MH |
| Manipur | MN |
| Meghalaya | ML |
| Mizoram | MZ |
| Nagaland | NL |
| Orissa | OR |

| State / U.T | Code |
|---|---|
| Pondicherry | PY |
| Punjab | PB |
| Rajasthan | RJ |
| Sikkim | SK |
| Tamil Nadu | TN |
| Telangana | TS |
| Tripura | TR |
| Uttar Pradesh | UP |
| Uttarakhand | UA |
| West Bengal | WB |
| Other | XX |

## List of ISO 3166 two- digit Country Code

| Country | Country Code | Country | Country Code | Country | Country Code | Country | Country Code |
|---|---|---|---|---|---|---|---|
| **Afghanistan** | AF | Dominican Republic | DO | Libya | LY | Saint Pierre and Miquelon | PM |
| **Aland Islands** | AX | Ecuador | EC | Liechtenstein | LI | Saint Vincent and the Grenadines | VC |
| **Albania** | AL | Egypt | EG | Lithuania | LT | Samoa | WS |
| **Algeria** | DZ | El Salvador | SV | Luxembourg | LU | San Marino | SM |
| **American Samoa** | AS | Equatorial Guinea | GQ | Macao | MO | Sao Tome and Principe | ST |
| **Andorra** | AD | Eritrea | ER | Macedonia, the former Yugoslav Republic of | MK | Saudi Arabia | SA |
| **Angola** | AO | Estonia | EE | Madagascar | MG | Senegal | SN |
| **Anguilla** | AI | Ethiopia | ET | Malawi | MW | Serbia | RS |
| **Antarctica** | AQ | Falkland Islands (Malvinas) | FK | Malaysia | MY | Seychelles | SC |
| **Antigua and Barbuda** | AG | Faroe Islands | FO | Maldives | MV | Sierra Leone | SL |
| **Argentina** | AR | Fiji | FJ | Mali | ML | Singapore | SG |
| **Armenia** | AM | Finland | FI | Malta | MT | Sint Maarten (Dutch part) | SX |
| **Aruba** | AW | France | FR | Marshall Islands | MH | Slovakia | SK |
| **Australia** | AU | French Guiana | GF | Martinique | MQ | Slovenia | SI |
| **Austria** | AT | French Polynesia | PF | Mauritania | MR | Solomon Islands | SB |
| **Azerbaijan** | AZ | French Southern Territories | TF | Mauritius | MU | Somalia | SO |
| **Bahamas** | BS | Gabon | GA | Mayotte | YT | South Africa | ZA |
| **Bahrain** | BH | Gambia | GM | Mexico | MX | South Georgia and the South Sandwich Islands | GS |
| **Bangladesh** | BD | Georgia | GE | Micronesia, Federated States of | FM | South Sudan | SS |
| **Barbados** | BB | Germany | DE | Moldova, Republic of | MD | Spain | ES |
| **Belarus** | BY | Ghana | GH | Monaco | MC | Sri Lanka | LK |
| **Belgium** | BE | Gibraltar | GI | Mongolia | MN | Sudan | SD |
| **Belize** | BZ | Greece | GR | Montenegro | ME | Suriname | SR |
| **Benin** | BJ | Greenland | GL | Montserrat | MS | Svalbard and Jan Mayen | SJ |
| **Bermuda** | BM | Grenada | GD | Morocco | MA | Swaziland | SZ |
| **Bhutan** | BT | Guadeloupe | GP | Mozambique | MZ | Sweden | SE |
| **Bolivia, Plurinational State of** | BO | Guam | GU | Myanmar | MM | Switzerland | CH |
| **Bonaire, Sint Eustatius and Saba** | BQ | Guatemala | GT | Namibia | NA | Syrian Arab Republic | SY |
| **Bosnia and Herzegovina** | BA | Guernsey | GG | Nauru | NR | Taiwan, Province of China | TW |
| **Botswana** | BW | Guinea | GN | Nepal | NP | Tajikistan | TJ |
| **Bouvet Island** | BV | Guinea-Bissau | GW | Netherlands | NL | Tanzania, United Republic of | TZ |
| **Brazil** | BR | Guyana | GY | New Caledonia | NC | Thailand | TH |
| **British Indian Ocean Territory** | IO | Haiti | HT | New Zealand | NZ | Timor-Leste | TL |
| **Brunei Darussalam** | BN | Heard Island and McDonald Islands | HM | Nicaragua | NI | Togo | TG |
| **Bulgaria** | BG | Holy See (Vatican City State) | VA | Niger | NE | Tokelau | TK |
| **Burkina Faso** | BF | Honduras | HN | Nigeria | NG | Tonga | TO |
| **Burundi** | BI | Hong Kong | HK | Niue | NU | Trinidad and Tobago | TT |
| **Cabo Verde** | CV | Hungary | HU | Norfolk Island | NF | Tunisia | TN |
| **Cambodia** | KH | Iceland | IS | Northern Mariana Islands | MP | Turkey | TR |
| **Cameroon** | CM | India | IN | Norway | NO | Turkmenistan | TM |
| **Canada** | CA | Indonesia | ID | Oman | OM | Turks and Caicos Islands | TC |
| **Cayman Islands** | KY | Iran, Islamic Republic of | IR | Pakistan | PK | Tuvalu | TV |
| **Central African Republic** | CF | Iraq | IQ | Palau | PW | Uganda | UG |
| **Chad** | TD | Ireland | IE | Palestine, State of | PS | Ukraine | UA |
| **Chile** | CL | Isle of Man | IM | Panama | PA | United Arab Emirates | AE |
| **China** | CN | Israel | IL | Papua New Guinea | PG | United Kingdom | GB |
| **Christmas Island** | CX | Italy | IT | Paraguay | PY | United States | US |
| **Cocos (Keeling) Islands** | CC | Jamaica | JM | Peru | PE | United States Minor Outlying Islands | UM |
| **Colombia** | CO | Japan | JP | Philippines | PH | Uruguay | UY |
| **Comoros** | KM | Jersey | JE | Pitcairn | PN | Uzbekistan | UZ |
| **Congo** | CG | Jordan | JO | Poland | PL | Vanuatu | VU |
| **Congo, the Democratic Republic of the** | CD | Kazakhstan | KZ | Portugal | PT | Venezuela, Bolivarian Republic of | VE |
| **Cook Islands** | CK | Kenya | KE | Puerto Rico | PR | Viet Nam | VN |
| **Costa Rica** | CR | Kiribati | KI | Qatar | QA | Virgin Islands, British | VG |
| **Cote d'Ivoire !Côte d'Ivoire** | CI | Korea, Democratic People's Republic of | KP | Reunion !Réunion | RE | Virgin Islands, U.S. | VI |
| **Croatia** | HR | Korea, Republic of | KR | Romania | RO | Wallis and Futuna | WF |
| **Cuba** | CU | Kuwait | KW | Russian Federation | RU | Western Sahara | EH |
| **Curacao !Curaçao** | CW | Kyrgyzstan | KG | Rwanda | RW | Yemen | YE |
| **Cyprus** | CY | Lao People's Democratic Republic | LA | Saint Barthelemy !Saint Barthélemy | BL | Zambia | ZM |
| **Czech Republic** | CZ | Latvia | LV | Saint Helena, Ascension and Tristan da Cunha | SH | Zimbabwe | ZW |
| **Denmark** | DK | Lebanon | LB | Saint Kitts and Nevis | KN | | |
| **Djibouti** | DJ | Lesotho | LS | Saint Lucia | LC | | |
| **Dominica** | DM | Liberia | LR | Saint Martin (French part) | MF | | |

**Annexure A1**

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address

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D) Please read section wise detailed guidelines / instructions at the end.
E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
F) List of two character ISO 3166 country codes is available at the end.
G) KYC number of applicant is mandatory for update application.
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**
*(To be filled by financial institution)*

Application Type* ☐ New ☐ Update

KYC Number _____ *(Mandatory for KYC update request)*

### ☐ 1. CORRESPONDENCE / LOCAL ADDRESS DETAILS (Please see instruction **E** at the end)

☐ Same as Current / Permanent / Overseas Address details

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

### ☐ 2. CONTACT DETAILS (All communications will be sent on provided Mobile no./ Email-ID) (Please refer instruction **F** at the end)

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

### 3. APPLICANT 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.

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : D D – M M – Y Y Y Y

Place :

**Annexure B1**

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person

**Important Instructions:**

(This KYC form is modelled on the lines of CERSAI's prescribed CKYC form. However, few additional details have been incorporated in the form to conform to the KYC requirements as applicable to Mutual Funds)

A) Fields marked with '*' are mandatory fields.
B) Please fill the form in English and in BLOCK letters.
C) Please fill the date in DD-MM-YYYY format.
D) Please read section wise detailed guidelines / instructions at the end.
E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
F) List of two character ISO 3166 country codes is available at the end.
G) KYC number of applicant is mandatory for update application.
H) For particular section update, please tick (✓) in the box available before the section number and strike of the sections not required to be updated.

**For office use only**
*(To be filled by financial institution)*
Application Type* ☐ New ☐ Update
KYC Number
*(Mandatory for KYC update request)*

### ☐ 1. DETAILS OF RELATED PERSON (Please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix | First Name | Middle Name | Last Name

(If KYC number and name are provided, below details of section 1 are optional)

PAN Card*

PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please see instruction (**H**) at the end)

☐ A- Passport Number — Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) — Identification Number
☐ S- Simplified Measures Account - Document Type code — Identification Number

### 2. APPLICANT 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.

Date : D D – M M – Y Y Y Y Place :

[Signature / Thumb Impression]
Signature / Thumb Impression of Applicant

### 3. ATTESTATION / FOR OFFICE USE ONLY

**Documents Received** ☐ Certified Copies

KYC IN PERSON VERFICATION (IPV) CARRIED OUT BY

Date D D – M M – Y Y Y Y
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name
Code

[Institution Stamp]

# Know Your Client (KYC) Application Form (For Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS

CVL

Place for Intermediary Logo

Application No. :

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

1. **Name of Applicant** (As appearing in supporting identification document).

Name

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

Father's/Spouse Name

2. **Gender** ☐ Male ☐ Female **B. Marital status** ☐ Single ☐ Married **C. Date of Birth** d d / m m / y y y y

3. **Nationality** ☐ **Indian** ☐ **Other** (Please specify) _____

4. **Status** Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. **PAN** Please enclose a duly attested copy of your PAN Card

**Aadhaar Number,** if any: _____

6. **Proof of Identity submitted for PAN exempt cases** Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others _____ (Please see guideline 'D' overleaf

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

1. **Address for Residence/Correspondence**

City / Town / Village Pin Code

State Country

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.**

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ 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. **Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant**

City / Town / Village Pin Code

State Country

5. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ 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:** _____

## 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:

## 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:**

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 apostiled 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)

CVL

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** ☐ Mr. ☐ Ms. ☐ Other (Please s_____ **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 1st January 2012

**1. Father's/Spouse Name**

**2. Current Marital status** ☐ Single ☐ Married **3. Current Nationality** ☐ **Indian** ☐ **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).

**Name**

**2. New Status** Please tick (✓) ☐ Resident Individual ☐ 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 (✓)

☐ Aadhaar Card ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others _____ (Please see guideline 'D' overleaf)

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

**1. New Address for Residence/Correspondence**

City / Town / Village Pin Code

State Country

**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.**

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ 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 Pin Code

State Country

**5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ 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 | DECLARATION | SIGNATURE OF APPLICANT |
|---|---|---|
| Old signature as per original KYC Wherever Applicable | 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 | |

## 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 | Seal/Stamp of the intermediary should contain |
|---|---|
| Staff Name | Staff Name |
| Designation | Designation |
| Name of the Organization | Name of the Organization |
| Signature | Signature |
| Date | Date |

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

**A. IMPORTANT POINTS:**

1. **Self attested copy of PAN card is mandatory for all clients in all type of change request.**
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 apostiled 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.