



SUNDARAM MUTUAL

A Simple Way to Invest-Common Transaction Slip
(for Existing Investors Only)
(Lumpsum Purchase & Switch)

To be submitted mandatorily: 1. Your FATCA (Foreign Account Tax Compliance Act) Details (if not already submitted) and 2.Ultimate Beneficial Owner (UBO) information (for non-individuals only) using the attached forms.

KYC acknowledgement is mandatory for all investors w.e.f. 01/01/2011.

KYC compliant ☐ Yes ☐ No (if no, please provide KYC proof/additional documents if not submitted earlier)

CKYC compliant ☐ Yes ☐ No (if no, please provide CKYC form & proof/additional documents.

If yes, please provide 14 digit CKYC Number)

Distributor's ARN & Name	Sub-broker's ARN (code)	Sub-broker Code (internal)	EUIN* (Employee Unique Identification Number)	Registered Investment Adviser (RIA) Code
ARN-64917			E434563	

ISC's signature &
Time Stamping

* Declaration for "Execution only" transaction (only where EUIN box is left blank)

☐ I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of inappropriateness,if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

Signature of First/Sole Applicant/ Guardian	Signature of Second Applicant	Signature of Third Applicant
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Transaction charges For Rs. 10,000 and above: <input type="checkbox"/> Existing Investor-Rs.100 <input type="checkbox"/> New Investor-Rs.150	Upfront commission shall be paid directly by the investor to the AMFI-registered distributors based on the investors' assessment of various factors including services rendered by the distributor.	Folio No																	
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Name of First/Sole Applicant (capital Letters)																								
Permanent Account Number (PAN)*										PEKRN					Central KYC Number					<input type="checkbox"/> CKYC Proof attached (Mandatory)				
First/Sole Applicant/Guardian																								
Second Applicant																								
Third Applicant																								
E-Mail*										Mobile No*														
Default Communication mode is E-mail only, if you wish to receive following document(s) via physical mode: Please tick (✓) <input type="checkbox"/> Account Statement <input type="checkbox"/> Annual Report <input type="checkbox"/> Other Statutory Information																								
<input type="checkbox"/> Additional Purchase										Fund Name:														
Plans: <input type="checkbox"/> Regular <input type="checkbox"/> Direct										Options: Income Distribution cum Capital Withdrawal (IDCW) <input type="checkbox"/> Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/> Transfer <input type="checkbox"/> Growth IDCW Frequency: (For Fixed Income Funds only) <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half-Yearly <input type="checkbox"/> Annual Transfer IDCW Target Scheme..... (If an investor fails to specify the target scheme, he will be allotted units under the default option/suboption of the Target scheme.) Any / each correction carried out in selecting the target scheme has to be counter-signed by the investor(s) to make it a valid selection														
Mode of payment: <input type="checkbox"/> Cheque/DD <input type="checkbox"/> RTGS/NEFT <input type="checkbox"/> Fund Transfer <input type="checkbox"/> One Time Mandate (OTM)																								
Bank (on which Cheque is drawn or by which Demand Draft is issued)															Branch									
Amount (figures)					Amount (in words)					Cheque/DD No (attach a cancelled cheque leaf)					Cheque/DD Date									
Rs															D D M M Y Y Y Y									
Legal Entity Identifier (Mandatory) - (Only for Non-Individuals including HUF)															Validity Date of LEI									
															D D M M Y Y Y Y									

DEMAT Account Details																								
<input type="checkbox"/> National Securities Depository Ltd.										Depository Participant														
<input type="checkbox"/> Central Depository Services (India) Ltd.										DP ID Number														
										Beneficiary Account Number														

Investor willing to invest in Demat option, may provide a copy of the DP Statement enabling us to match the Demat details as stated in the application form.

<input type="checkbox"/> Switch <input type="checkbox"/> Amount..... <input type="checkbox"/> Units.....																								
Source Scheme:.....(Fund)															Target Scheme:.....(Fund)									
Plan: <input type="checkbox"/> Regular <input type="checkbox"/> Direct															Plan: <input type="checkbox"/> Regular <input type="checkbox"/> Direct									
Options: Income Distribution cum Capital Withdrawal (IDCW)															Options: Income Distribution cum Capital Withdrawal (IDCW)									
<input type="checkbox"/> Payout <input type="checkbox"/> Re-Investment <input type="checkbox"/> Transfer <input type="checkbox"/> Growth															<input type="checkbox"/> Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/> Transfer <input type="checkbox"/> Growth									
IDCW Frequency: <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly															IDCW Frequency: (For Fixed Income Funds only)									
<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half-Yearly <input type="checkbox"/> Annual															<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half-Yearly <input type="checkbox"/> Annual									
Transfer IDCW Target Scheme.....															Transfer IDCW Target Scheme.....									
(If an investor fails to specify the target scheme, he will be allotted units under the default option/suboption of the Target scheme.) Any / each correction carried out in selecting the target scheme has to be counter-signed by the investor(s) to make it a valid selection															(If an investor fails to specify the target scheme, he will be allotted units under the default option/suboption of the Target scheme.) Any / each correction carried out in selecting the target scheme has to be counter-signed by the investor(s) to make it a valid selection									

Declaration: I/We • having read and understood the contents of the Statement of Additional Information/Scheme Information Document/addenda issued to the SID and KIM till date • hereby apply for units under the scheme(s) as indicated in the application form • agree to abide by the terms, conditions, rules and regulations of the scheme(s) • agree to the terms and conditions for Auto Debit • have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment • do not have any existing Micro SIPs/investments which together with the current application will result in the total investments exceeding Rs. 50,000 in a financial year or a rolling period of twelve months (applicable for PAN exempt category of investors). The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other model), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

Applicable to NRIs only: Please (✓) ☐ I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account on a ☐ Repatriation Basis ☐ Non-Repatriation Basis.

I / We hereby declare that all the particulars given herein are true, correct and complete to the best of my / our knowledge and belief. I / We further agree not to hold Sundaram Asset Management, its sponsor, their employees, authorised agents, service providers, representatives of the distributors liable for any consequences / losses / costs / damages in case of any of the above particulars being false, incorrect or incomplete or in case of my/our not intimating/delay in intimating any changes to the above particulars. I / We hereby authorise Sundaram Asset Management to disclose, share, remit in any form, mode or manner, all / any of the information provided by me / us, including all changes, updates to such information as and when provided by me/us, to any Indian or foreign governmental or statutory or judicial authorities / agencies, the tax / revenue authorities and other investigation agencies and SEBI registered intermediaries without any obligation of advising me/us of the same. I/We hereby agree to provide any additional information / documentation that may be required in connection with this application.

Stamp Duty: Pursuant to Notification No. S.O. 1226(E) and G.S.R. 226(E) dated March 30, 2020 issued by Department of Revenue, Ministry of Finance, Government of India, read with Part I of Chapter IV of The Finance Act, 2019, notified on February 21, 2019 issued by Legislative Department, Ministry of Law and Justice, Government of India, a stamp duty @0.005% of the transaction value of units would be levied on applicable mutual fund inflow transactions, with effect from July 1, 2020. Accordingly, pursuant to levy of stamp duty, the number of units allotted on purchase transactions (including reinvestment IDCW and switch-in) to the Unit holders would be reduced to that extent.

Signature																								
First / Sole Applicant / Guardian																								
Second Applicant																								
Third Applicant																								
Request Date																								
D D M M Y Y Y Y																								

Acknowledgement															Request Date:									
<input type="checkbox"/> Purchase <input type="checkbox"/> Cheque /DD Number.....															D D M M Y Y Y Y									
<input type="checkbox"/> Switch From..... (Scheme) To.....																								
Folio No										Fund														
Plans: <input type="checkbox"/> Regular <input type="checkbox"/> Direct										Options: IDCW <input type="checkbox"/> Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/> Transfer or <input type="checkbox"/> Growth														
IDCW Frequency: <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly										Amount														
<input type="checkbox"/> Quarterly <input type="checkbox"/> Half-Yearly <input type="checkbox"/> Annual																								

Time Stamp/Seal

Contact No. 1860 425 7237 (India)
+91 40 2345 2215 (NRI)

SMS SFUND to 56767

E-mail: customerservices@sundarammutual.com
(NRI): nriseservices@sundarammutual.com

www.sundarammutual.com

Sundaram Mutual Fund

☐ (Applicable only for investments through RIA) RIA Consent Declaration: I/We, the above-named person/s have invested in the Scheme(s) of Sundaram Mutual Fund under Direct Plan under the above mentioned Account No(s)/Folio No(s).
I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the below mentioned Mutual Fund Distributor/SEBI-Registered Investment Advisor (Correction – Advisor):
AMFI Registration Number ARN -SEBI Registration No.

Name:
Address

CityPIN
E-Mail IDTel.No

KYC details (Mandatory) ☐ Individual☐ Non-Individual (Please attach mandatory Ultimate Beneficial Ownership (UBO) declaration form)

Status of First/Sole Applicant [Please (✓)]
☐ Listed Company
☐ Unlisted Company
☐ Individual
☐ Minor through guardian
☐ HUF
☐ Partnership
☐ Society/Club
☐ Company
☐ Body Corporate
☐ Trust
☐ Mutual Fund
☐ FPI
☐ NRI-Repatriable
☐ NRI-Non-Repatriable
☐ FI/ Sub account of FI
☐ Fund of Funds in India
☐ QFI
☐ Others..... (please specify)

Occupation Details [Please (✓)]
(To be filled only if the applicant is an individual)
First Applicant
☐ Private Sector Service
☐ Government Service
☐ Professional
☐ Retired
☐ Student
☐ Others..... (please specify)
Second Applicant
☐ Private Sector Service
☐ Government Service
☐ Professional
☐ Retired
☐ Student
☐ Others..... (please specify)
Third Applicant
☐ Private Sector Service
☐ Government Service
☐ Professional
☐ Retired
☐ Student
☐ Others..... (please specify)

Gross Annual Income (in ₹) [Please (✓)]
First Applicant
☐ Below 1 Lac
☐ 5-10 Lacs
☐ > 25 Lacs - 1 Crore
Net-worth (Mandatory for non-individuals) ₹
..... as on
DDMMYYYY (Not older than one year)
Second Applicant
☐ Below 1 Lac
☐ 5-10 Lacs
☐ > 25 Lacs - 1 Crore
☐ > 1 Crore (or) Net-worth.....
Third Applicant
☐ Below 1 Lac
☐ 5-10 Lacs
☐ > 25 Lacs - 1 Crore
☐ > 1 Crore (or) Net-worth.....

PEP Status
First Applicant
For Individuals [Please (✓)] 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
For Non-Individuals providing any of the below mentioned services [Please (✓)]
☐ Foreign Exchange/Money Changer Services
☐ Gaming/Gambling/Lottery/Casino Services
☐ Money Lending/Pawning
☐ None of the above
Second Applicant
(To be filled only if the applicant is an individual)
☐ I am PEP
☐ I am related to PEP
☐ Not Applicable
Third Applicant
(To be filled only if the applicant is an individual)
☐ I am PEP
☐ I am related to PEP
☐ Not Applicable

The below information is required for all applicant(s) / guardian / PoA holder

FATCA-CRS DETAILS

For Individuals (Mandatory)

Non Individual investors & HUF should mandatorily fill separate FATCA-CRS Annexure

Category	First Applicant/Guardian	Second Applicant	Third Applicant
1. Are you a Tax Resident of Country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Is your Country of Birth/ citizenship other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Is your Residence address / Mailing address / Telephone No. other than in India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Is the PoA holder / person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If you have answered YES to any of above, please provide the below details

Country of Tax Residence			
Nationality			
Tax Identification Number\$ or Reason for not providing TIN			
Identification Type (TIN or Other, please specify)			
Residence address for tax purposes (include City, State, Country & Pin code)			
Address Type	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
City of birth			
Country of birth			

\$ In case any of applicant being resident/ tax payer in more than one country, provide tax identification number for each such country separately.

Certification & Signatures: I/We hereby declare that all the particulars given herein are true, correct and complete to the best of my/our knowledge and belief. I/ We further agree not to hold Sundaram Asset Management, its sponsor, their employees, authorised agents, service providers, representatives of the distributors liable for any consequences/losses/costs/damages in case of any of the above particulars being false, incorrect or incomplete or in case of my/our not intimating/delay in intimating any changes to the above particulars. I/We hereby authorise Sundaram Asset Management to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/us, to any Indian or foreign governmental or statutory or judicial authorities/agencies, the tax/revenue authorities, other investigation agencies and SEBI registered intermediaries without any obligation of advising me/us of the same. I/We hereby agree to provide any additional information/documentation that may be required in connection with this application.
Certification: I/We have understood the information requirements of this Form (read along with the FATCA-CRS Instructions), and hereby certify 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 and hereby accept the same.
I/We agree to indemnify Sundaram Asset Management Company Limited in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. person" status for U.S. federal income tax purposes, or in respect of any other information as may be required under applicable tax laws.
FATCA-CRS Instructions
Details under FATCA-CRS/Foreign Tax Laws: 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 certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. 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. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).
If you are a US citizen or resident or greencard holder, please include United States in the Country of Tax Residence field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.
\$ 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 with supporting documents and attach this to the form.

Signature

First / Sole Applicant / Guardian

Second Applicant

Third Applicant

Contact No. 1860 425 7237 (India)
+91 40 2345 2215 (NRI)
www.sundarammutual.com

E-mail: customerservices@sundarammutual.com
(NRI): nriservices@sundarammutual.com
Sundaram Mutual Fund