



ARN-64917

E434563

## CKYC & KRA KYC Form

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

(Please fill the form in English and in BLOCK Letters) Fields marked with '\*' are mandatory fields

Application Type\*  New  Update KYC Number\*  KYC Type\*  Normal (PAN is mandatory)  
 PAN Exempt Investors (Refer instruction K)

#### 1. Identity Details (Please refer instruction A at the end)

PAN\*  Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others – Country _____	Country Code <input type="text"/>	
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
Occupation Type*	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
	<input type="checkbox"/> S-Service <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector	
	<input type="checkbox"/> O-Others <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student	
	<input type="checkbox"/> B-Business	<input type="checkbox"/> X-Not Categorised		

**Photo**

Signature/  
Thumb Impression

#### 2. Proof of Identity (PoI)\* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

I. Certified copy of OVD or equivalent edocument of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

A - Passport Number  Passport Expiry Date

B - Voter ID Card

C - Driving Licence  Driving Licence Expiry Date

D - NREGA Job Card

E - National Population Register Letter

F - Proof of Possession of Aadhaar No need to attach. Aadhaar card. If submitted, Aadhaar Number to be masked by the customer

II  E - KYC Authentication No need to attach. Aadhaar card. If submitted, Aadhaar Number to be masked by the customer

III  Offline verification of Aadhaar No need to attach. Aadhaar card. If submitted, Aadhaar Number to be masked by the customer

Address [For other than resident Individual, please mention Overseas Address]

Line 1\*

Line 2

Line 3  City/Town/Village\*

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

#### 3. Proof of Address (PoA)\* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

A - Passport Number

B - Voter ID Card

C - Driving Licence

D - NREGA Job Card

E - National Population Register Letter

F - Proof of Possession of Aadhaar No need to attach. Aadhaar card. If submitted, Aadhaar Number to be masked by the customer

II  E - KYC Authentication No need to attach. Aadhaar card. If submitted, Aadhaar Number to be masked by the customer

III  Offline verification of Aadhaar No need to attach. Aadhaar card. If submitted, Aadhaar Number to be masked by the customer

Address [For other than resident Individual, please mention Overseas Address]

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

3.2 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', Submit relevant documentary proof)

Line 1\* [Grid]
Line 2 [Grid]
Line 3 [Grid]
District\* [Grid] Zip / Post Code\* [Grid] State/UT Code [Grid] as per Indian Motor Vehicle Act, 1988
Country\* [Grid] Country Code [Grid] as per ISO 3166

4. Contact Details (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Email ID [Grid]
Email ID provided pertains to Self Family Member Spouse Dependent Parents Dependent Children
Mobile [Grid]
Mobile No. provided pertains to Self Family Member Spouse Dependent Parents Dependent Children
Tel. (Off) [Grid] Tel. (Res) [Grid]

5. FATCA/CRS Information (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 above option (5) is ticked)

Country of Jurisdiction of Residence\* [Grid] Country Code of Jurisdiction of Residence [Grid] as per ISO 3166
Tax Identification Number or equivalent (If issued by jurisdiction)\* [Grid]
Place / City of Birth\* [Grid] Country of Birth\* [Grid] Country Code [Grid] as per ISO 3166

Address

Line 1\* [Grid]
Line 2 [Grid]
Line 3 [Grid]
District\* [Grid] Zip / Post Code\* [Grid] State/UT Code [Grid] as per Indian Motor Vehicle Act, 1988
Country\* [Grid] Country Code [Grid] as per ISO 3166

6. Details of Related Person (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')

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 [Pol] of Related Person\* (Please see instruction (H) at the end)

(Certified copy of any one of the following Proof of Identity [Pol] needs to be submitted)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

A - Passport Number [Grid] Passport Expiry Date [DD] - [MM] - [YYYY]
B - Voter ID Card [Grid]
C - Driving Licence [Grid] Driving Licence Expiry Date [DD] - [MM] - [YYYY]
D - NREGA Job Card [Grid]
E - National Population Register Letter [Grid]
F - Proof of Possession of Aadhaar No need to attach. Aadhaar card. If submitted, Aadhaar Number to be masked by the customer

II  E - KYC Authentication No need to attach. Aadhaar card. If submitted, Aadhaar Number to be masked by the customer

III  Offline verification of Aadhaar No need to attach. Aadhaar card. If submitted, Aadhaar Number to be masked by the customer

7. Remarks (If any)

[Grid for Remarks]

8. Applicant Declaration

- I hereby declare that the details furnished above are true and correct to the best of my knowledge/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 declare that I am not making this application for the purpose contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time
I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address and to download the information from CKYCR
I am providing the consent to MF/RTA/SEBI registered intermediary to share this KYC data applicable Aadhaar XML data with KRA and share the data to other participating intermediaries as mandated by PMLA Act/Rules/SEBI guidelines

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

Date: [DD] - [MM] - [YYYY] Place: [Grid]

**9. Attestation / For Office Use Only**

Documents Received  Certified Copies

**KYC Verification Carried Out by (Refer Instruction I)**

Date  -  -

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

**In-Person Verification (IPV) Carried Out by (Refer Instruction J)**

Date  -  -

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

**Institution Details**

Name

Code

Emp. Branch

[Institution Stamp]

**Institution Details**

Name

Code

Emp. Branch

[Institution Stamp]

**Instructions/Guidelines for filling Individual KYC Application Form**

**General Instructions:**

- Self-Certification of documents is mandatory.
  - KYC number of applicant is mandatory for update/change of KYC details.
  - For particular section update, please tick (3) in the box available before the section number and strike off the sections not required to be updated.
  - Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 list mentioned under [I].
  - If any proof of identity or address is in a foreign language, then translation into English is required.
  - Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
  - If correspondence & permanent addresses are different, then proofs for both have to be submitted.
  - Sole proprietor must make the application in his individual name & capacity.
  - 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.
  - In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
  - 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.
- A. Clarification / Guidelines on filling 'Identity Details' section**
- 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.
  - 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**
- 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]/proof of address [PoA]/ proof of Identity [PoI] of related person, if PAN Card copy is not enclosed/For PAN exempt Investors**
- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
  - In Section 2 one of I, II and III is to be selected In case of online E KYC authentication, II is to be selected.
  - In Section 3 one of I, II and III is to be selected In case of online E KYC authentication, II is to be selected.
  - Regulated Entity (shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
  - "Equivalent e document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
  - "Digital KYC process" has to be carried out as stipulated in the PML Rules, 2005.
- D. Clarification / Guidelines on filling 'Proof of Address [PoA] section**
- 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.
  - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

- Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.
- E. Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**
- 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.
  - In case of multiple correspondence / local addresses, Please fill 'Annexure A1'.
  - Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.
- F. Clarification / Guidelines on filling 'Contact details' section**
- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91 -9999999999).
  - Do not add '0' in the beginning of Mobile number.
- G. Clarification / Guidelines on filling 'Related Person details' section**
- Provide KYC number of related person if available.
- H. List of people authorized to attest the documents after verification with the originals:**
- Authorised officials of Asset Management Companies (AMC).
  - Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
  - KYD compliant mutual fund distributors.
  - 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).
  - 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.
  - Government authorised officials who are empowered to issue Apostille Certificates.
- I. List of people authorized to perform In Person Verification (IPV):**
- Authorised officials of Asset Management Companies (AMC).
  - Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
  - KYD compliant mutual fund distributors.
  - Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
  - In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.
- J. PAN Exempt Investor Category**
- Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
  - Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
  - Investors residing in the state of Sikkim.
  - UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.



## FATCA & CRS Annexure for Individual Accounts (Including Sole Proprietor) (Refer to instructions)

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

Applicant / Guardian													
Name													
Gender	M	F	O		PAN					Occupation Type	Service	Business	Others
Father's 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	<input checked="" type="checkbox"/>	Residential or Business	<input checked="" type="checkbox"/>	Residential	<input checked="" type="checkbox"/>	Business	<input checked="" type="checkbox"/>	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				Place of Birth									
Country of Birth													
Nationality													
Are you a tax resident of any country other than India?				Yes	<input checked="" type="checkbox"/>	No	<input checked="" type="checkbox"/>						

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

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

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

<sup>b</sup>In case Tax Identification Number is not available, kindly provide its functional equivalent<sup>s</sup>

### 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**

**Applicant / Guardian**

**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 Incometax 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.



ARN-64917

E434563

## SUPPLEMENTARY KNOW YOUR CLIENT (KYC) FORM

The Application Form should be completed in English and in **BLOCK LETTERS** only.

DATE : / /

### 1. UNIT HOLDER INFORMATION

a. EXISTING UNIT HOLDER INFORMATION (If you have existing folio, please fill in section 1 and proceed to section 3)

Folio No.  /

The details in our records under the folio number mentioned alongside will apply for this application.

b. NAME OF FIRST / SOLE APPLICANT

Mr. Ms. M/s.

Application Form No.

### 2. FIRST/ SOLE APPLICANT OTHER DETAILS (Mandatory) (Refer instruction 1)

a. Status of First/ Sole Applicant [Please tick (✓)]  Individual  Non - Individual [Please attach mandatory Ultimate Beneficial Ownership (UBO) Declaration Form] (Refer Instruction 2)

Resident Individual  NRI-Repatriation  NRI-Non Repatriation  Partnership  Trust  HUF  AOP  PIO  Company  FIs  Minor through guardian  BOI  OCI  Body Corporate  LLP  Society / Club  Foreign National Resident in India  QFI  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 Lac  1 - 5 Lacs  5 - 10 Lacs  10 - 25 Lacs  >25 Lacs - 1 Crore  >1 Crore

OR

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

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. Non-Individual Investors involved/ providing any of the mentioned services  Foreign Exchange / Money Changer Services  Gaming / Gambling / Lottery / Casino Services  Money Lending / Pawning  None of the above

### 3. DETAILS OF SECOND APPLICANT, If any (Refer instruction 1)

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 Lac  1 - 5 Lacs  5 - 10 Lacs  10 - 25 Lacs  >25 Lacs - 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

### 4. DETAILS OF THIRD APPLICANT, If any (Refer instruction 1)

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 Lac  1 - 5 Lacs  5 - 10 Lacs  10 - 25 Lacs  >25 Lacs - 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

### 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/network 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 first/sole applicant) 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.

- Ultimate Beneficial Owners(s)

Pursuant to SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 on Anti Money Laundering Standards and Guidelines on identification of Beneficial Ownership issued by SEBI vide its Circular No. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of 'Ultimate Beneficial Owner(s) (UBO(s))'. In case the investor or owner of the controlling interest is a company listed on a stock exchange or is a majority owned subsidiary of such a company, the details of shareholders or beneficial owners are not required to be provided.

Non-individual applicants/investors are mandated to provide the details on 'Ultimate Beneficial Owner(s) (UBO(s))' by filling up the declaration form for 'Ultimate Beneficial Ownership'. Please contact the nearest Investor Service Centre (ISC) of Aditya Birla Sun Life Mutual Fund or log on to 'Investor Corner' section on our website www.adityabirlasunlifemf.com for the Declaration Form.