FATCA and Additional KYC Form

(Form to be used for Investors using OLD application forms which do not contain the new requirements for FATCA and KYC details. Non-Individuals to additionally provide separate FATCA details and UBO form)

TATA MUTUAL FUND
Expertise that's trusted

1. Investor(s) Details

ARN: 64917 EUIN:E-029678

First Holder Name »		PAN
Second Holder Name »		PAN
Third Holder Name »		PAN

2. Know Your Customer (KYC) Details

KYC Details

CATEGORIES	FIRST APPLICANT / GUARDIAN	SECOND APPLICANT	THIRD APPLICANT
Occupation »	☐ Private Sector Service ☐ Retired ☐ Public Sector Service ☐ Business ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify)	☐ Private Sector Service ☐ Retired ☐ Public Sector Service ☐ Business ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify)	☐ Private Sector Service ☐ Retired ☐ Public Sector Service ☐ Business ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify)
Gross Annual Income »	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore Networth in (Mandatory for Non-individual) ₹ as on D D / M M / Y Y Y Y (not older than 1 year)	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore Networth in ₹ as on D D / M M / Y Y Y Y (not older than 1 year)	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore Networth in ₹ as on D D / M M / Y Y Y Y (not older than 1 year)
Others »	☐ Not Applicable ☐ Politically Exposed Person ☐ Related to Politically Exposed Person	☐ Not Applicable ☐ Politically Exposed Person ☐ Related to Politically Exposed Person	☐ Not Applicable ☐ Politically Exposed Person ☐ Related to Politically Exposed Person

Additional KYC Details for Non - Individuals

For Non Individuals only (Companies, Trust, Partnership etc.) »	Is the company a Listed Company or Subsidiary of Listed Company or Controlled by a Listed Company: ☐ Yes ☐ No (if No, mandatory to attach the UBO declaration)
	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. Foreign Account Tax Compliance Act (FATCA) Details

FATCA Related Details for Individuals

CATEGORIES	FIRST APPLICANT / GUARDIAN	SECOND APPLICANT	THIRD APPLICANT
Country of Birth »			
Place of Birth »			
Nationality »			
Type of address given at KRA »	☐ Residential or Business ☐ Residential ☐ Registered Office ☐ Business	☐ Residential or Business ☐ Residential ☐ Registered Office ☐ Business	☐ Residential or Business ☐ Residential ☐ Registered Office ☐ Business
Are you also a resident in any other country(ies) for tax purposes? »	☐ No ☐ Yes	☐ No ☐ Yes	☐ No ☐ Yes
	If yes, complete section below.		
Country of Tax Residency 1 »			
Tax Identification Number 1 »			
Identification Type 1 »			
Country of Tax Residency 2 »			
Tax Identification Number 2 »			
Identification Type 2 »			

Supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet been issued, please provide an explanation and attach this to the form

FATCA Related Details for Non Individuals: Please submit Form W8 BEN-E and FATCA details and UBO details form.

4. Declaration and Signatures

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/ are aware that I/We may liable for it. I/We hereby authorize you [CAMS/Fund/AMC/Other participating entities] to disclose, share, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end. As may be required by domestic or overseas regulators/ tax authorities, I/We authorize Fund/AMC/RTA to withhold and pay out any sums from your account or close or suspend your account(s) without any obligation of advising me of the same.

Date:

1st Applicant Signature / Thumb Impression	2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression

I

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

Application No.:

Please fill in ENGLISH and in BLOCK LETTERS

ARN: 64917 EUIN:E-029678

A. Identity Details (please see guidelines overleaf)

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

Name

Father's/Spouse Name

COLOUR PHOTOGRAPH Please affix a recent passport size photograph and sign across it

2a. **Gender** please tick (✓) ☐ Male ☐ Female **2B. Marital status** please tick (✓) ☐ Single ☐ Married

2C. **Date of Birth** D D / M M / Y Y Y Y

3. **Nationality** ☐ Indian ☐ Others 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

Unique Identification Number (UID)/Aadhaar, if any ____

6. **Proof of identity submitted for PAN exempt cases** Please tick (✓)

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

B. Address Details (please see guidelines overleaf)

1. **Address for 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.

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.

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 declare that I am not making this application for the purpose of 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 authorise sharing of the information furnished on this form with all SEBI registered KYC Registration Agencies/ SEBI Registered Intermediaries

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

____

☐ (Original Varified) Self Certified Document copies received

☐ (Attested True copies of documents received

Main Intermediary

Documents Attestation	In Person Verification
Seal/Stamp of the intermediary should contain Staff Name Emp.No./ARN. No Name of the Organization Signature Date	Seal/Stamp of the intermediary should contain Staff Name Emp.No./ARN. No Name of the Organization Signature Date

Version 2.0 - February 2014

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card.
2. 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 [E].
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 addresses 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. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
9. 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.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity (*Documents having an expiry date should be valid on the date of submission.):

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 or 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. 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. Investments(including SIPs), in Mutual Fund schemes upto Rs.50000/- per investor per year per mutual fund.

E. List of people authorized to attest the documents after verification with the originals:

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.
3. Government authorised officials who are empowered to issue Apostille Certificates.

In case of Mutual Fund following persons can additionally attest

1. KYD compliant mutual fund distributors.
2. Authorised officials of Asset Management Companies (AMC).
3. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.

F. List of people authorized to perform In Person Verification (IPV):

1. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
2. In case of NRI applicants, a person permitted to attest documents in E(5) above, may also conduct the In Person Verification and confirm the Same in the KYC Form.

In case of Mutual Fund following persons can additionally attest

1. KYD compliant mutual fund distributors.
2. Authorised officials of Asset Management Companies (AMC).
3. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.

Please Print the KYC Application Form in A4 Size Paper Only.

CI

KYC Details Change form (For Individuals Only)

Application No. :

ARN: 64917 EUIN:E-029678

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 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 Applicant if different from above C1 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:** ______

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 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 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.

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SUPPLEMENTARY KNOW YOUR CLIENT (KYC) FORM

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

Annexure to Application Form No. ____________________

ARN: 64917 EUIN:E-029678 Date : D D / M M / Y Y

1. UNITHOLDER INFORMATION

a. **Name of First / Sole applicant** ☐ Mr. ☐ Ms. ☐ M/s.

b. **PAN / PEKRN** Mandatory

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

☐ **Individual** ☐ **Non - Individual**

Is the company a Listed Company or Subsidiary of Listed Company or or Controlled by a Listed Company: (if No, please attach mandatory UBO declaration): ☐ Yes ☐ No

a. Status of First/ Sole Applicant [Please tick (✓)]

☐ Resident Indian ☐ NRI ☐ PIO ☐ HUF ☐ Minor RI ☐ Minor NRI ☐ Trust ☐ Proprietorship ☐ LLP ☐ Partnership ☐ Public Ltd. Co. ☐ Pvt. Ltd. Co. ☐ Non Profit Organisation ☐ Societies ☐ FOF ☐ Body Corporate ☐ Others (please specify)................................

b. Occupation Details [Please tick (✓)]

☐ Private Sector Service ☐ Public Sector Service ☐ Business ☐ Retired ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ 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**

Networth in (Mandatory for Non-individual) ₹ .... as on D D / M M / Y Y (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. **For 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. **Name of Second applicant** ☐ Mr. ☐ Ms. ☐ M/s.

b. **PAN / PEKRN** Mandatory

c. Occupation Details [Please tick (✓)]

☐ Private Sector Service ☐ Public Sector Service ☐ Business ☐ Retired ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify)................................

d. 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**

Networth in (Mandatory for Non-individual) ₹ .... as on D D / M M / Y Y (not older than 1 year)

e. Politically Exposed Person (PEP) Status : ☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

4. DETAILS OF THIRD APPLICANT, IF ANY (Refer Instruction 1)

a. Name of Third applicant ☐ Mr. ☐ Ms. ☐ M/s.

b. **PAN / PEKRN** Mandatory

c. Occupation Details [Please tick (✓)]

☐ Private Sector Service ☐ Public Sector Service ☐ Business ☐ Retired ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify)................................

d. 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**

Networth in (Mandatory for Non-individual) ₹ .... as on D D / M M / Y Y (not older than 1 year)

e. Politically Exposed Person (PEP) Status : ☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

5. DECLARATION

I/We declare that the information is to the best of my/our knowledge and belief, and is accurate and complete. I/We agree to notify Tata Mutual Fund/ Tata Asset Management. Ltd. immediately in the event of any change in the information. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be held liable for it.

1st Unitholder Signature / Thumb Impression	2nd Unitholder Signature / Thumb Impression	3rd Unitholder Signature / Thumb Impression

INSTRUCTIONS

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

2. **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'** available on our website www.tatamutualfund.com