

NMF II Platform		IIN No.:	Investor Form	
Distributor code:ARN 84894 – Tata Capital Financial Services Ltd.				
<b>UnitHolder Information</b>				
Name of the First Applicant :				
PAN/Exempt No.:	Date of Birth :	Tax Status* :	cKYC Ref No. :	
Father Name :		Mother Name :		
Name of Guardian :	Date of Birth :	PAN/Exempt No.:	cKYC Ref No. :	
Contact Address :				
City :	Pincode :	State :	Country :	
Tel.(Off) :	Tel.(Res) :	Email :		
Fax.(Off) :	Fax.(Res) :	Mobile:		
Mode of Holding :	DP ID :	Occupation :		
Name of Second Applicant :		PAN/Exempt No. :		
Second Applicant Email:		Second Applicant Mobile :		
Second Applicant Date of Birth :		Second Applicant cKYC Ref No. :		
Name of Third Applicant :		PAN/Exempt No.:		
Third Applicant Email :		Third Applicant Mobile :		
Third Applicant Date of Birth :		Third Applicant cKYC Ref No. :		
<b>Other Details</b>				
Overseas Address (If investor is NRI) :				
City :	Pincode :	Country :		
<b>Bank Mandate Details</b>				
Name of Bank :		Branch :		
A/c No.:	A/c Type :	IFSC Code :	MICR No. :	
Bank Address :				
City :	Pincode :	Country :		
<b>Nomination Details</b>				
Nominee Name 1 :	Date of Birth:	Relationship :	Percentage :	
Guardian Name(If nominee 1 is minor) :		Guardian PAN :		
Nominee Address :				
City :	Pincode :	State :		
Nominee Name 2 :	Date of Birth:	Relationship :	Percentage :	
Guardian Name(If nominee 2 is minor) :		Guardian PAN :		
Nominee Name 3 :	Date of Birth:	Relationship :	Percentage :	
Guardian Name(If nominee 3 is minor) :		Guardian PAN :		
<b>Declaration and Signature</b>				
<b>ADDITIONAL TERMS &amp; CONDITIONS APPLICABLE TO INVESTMENT SERVICES</b>				
<ul style="list-style-type: none"> <li>I/We understand that Tata Capital Financial Services Limited ("TCFSL") is registered with The Association of Mutual Funds in India as a Mutual Fund Distributor bearing ARN No.84894 and Tata Capital Wealth is a service offering by TCFSL.</li> <li>I/ We understand that mutual fund transactions executed through my/ our investment account with Tata Capital Financial Services limited (TCFSL) will be routed through NSE Mutual Fund Platform (NMF II Platform) of National Stock Exchange of India Limited (NSE) and by signing this registration form, I/We confirm our acceptance to register ourselves under NMF II Platform and abide by the terms &amp; conditions including KYC norms, as may be prescribed by NSE in this regarding from time to time.</li> <li>I/We understand that NMF II is a platform being used to route mutual fund transactions from TCFSL to the respective Asset Management Companies (AMC) and Registrar and Transfer Agents (RTA). I /We hereby undertake to indemnify NSE / TCFSL against any loss or damage caused, pursuant to the actions done by NSE in good faith, based on the order feed from TCFSL or for any other actions done for facilitating the transactions through NMF II.</li> <li>I/We confirm that information provided by me /us is true and correct and I/We acknowledge and undertake the responsibility of the information provided by TCFSL to NSE in connection with my / our account and further confirm that TCFSL / NSE will not be responsible or liable for any loss or claim or liability that may arise on account of incorrect or erroneous data/information provided by me/us.</li> <li>I/We authorise NSE to collect the following data /information pertaining to my/ our Mutual Fund Investments from all AMC's and their respective RTAs with whom I/We transact. The data / information authorised to be collected are: <ul style="list-style-type: none"> <li>Distributor wise transaction data for past, present and future transactions carried out by me/us through various transaction platforms including transaction request submitted at any point of acceptance of the AMC subject to the condition that distributor is registered with NSE NMF II Platform.</li> <li>Scheme wise consolidated unit balance available in/my accounts as and when required.</li> </ul> </li> </ul>				
Date :		Place :		
Signature 1st Applicant :		Signature 2nd Applicant :		Signature 3rd Applicant :
*Documents Required:				
Trust : Trust Deed and Authorised Signatory List				
Partnership Firm : Partnership Deed and Authorised Signatory List,				
Societies : Bye-Laws and Authorised Signatory List				
FII & LLP : Overseas Auditors Certificate,Authorised Signatory List ,Board Resolution/Authorisation to Invest				
Corporate : Board Resolution and Authorised signatory List				
Minor : Proof of Date of Birth				
For all investors, a Cancelled cheque should also be mandatorily submitted as proof of bank account.				
Individual Investor – Additional KYC and FATCA compliance mandatory for IIN activation.				
Corporate / HUF Investor – Additional KYC, FATCA and UBO compliance mandatory for IIN activation.				
Note: For Corporate and HUF investors all forms have to be submitted in physical post making necessary submissions on NMF II platform. Once the submissions are made on the platform printed version of forms will be generated from NMF platform.				
This Investor Form was generated through NMF II platform.				

## FATCA-CRS Declaration & Supplementary KYC Information

### Declaration Form for Individuals

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

PEKRN *											
Name											
Address Type [for KYC address ]	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified						
Place of Birth				Country of Birth							
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 1-5 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> 25 Lacs - 1 Cr	<input type="checkbox"/> > 1 Crore	Occupation Details [Please tick any one (√)]	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Private Sector
Net Worth in INR. In Lacs	_____						<input type="checkbox"/> Government Service	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student	<input type="checkbox"/> Retired
Net Worth Date	dd-mmm-yyyy						<input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Others [Please specify]			
Politically Exposed Person [PEP]	<input type="checkbox"/> Yes	<input type="checkbox"/> Not Applicable	<input type="checkbox"/> Related to PEP				Any other information [if applicable]	[Please specify]			

\* If PAN is not available, please specify Folio No(s)

Is your Country of Tax Residency other than India –  Yes  No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

S No	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type [TIN or other, please specify]

# to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in countries especially of USA

those respective

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you [Fund/AMC/RTA/NSE] 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 of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I 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 authorize Fund/AMC/RTA/NSE 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 :

Signature:

Place :

Applicant / Guardian

PLEASE DO NOT SUBMIT THE FORM WITHOUT THE ENTRY IN THE SYSTEM.

Write <b>Name of your Bank</b> (as in Cheque/pass book)  <b>Mandatory</b>	Write <b>Your Bank a/c no.</b> (as in Cheque/pass book)  <b>Mandatory</b>	Mention any one of <b>Your bank code IFSC or MICR code</b> (as in Cheque/pass book)  <b>Mandatory</b>	Tick <b>Bank account type</b>  <b>Mandatory</b>	Mention the date
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UMRN  Date

Sponsor Bank Code  Utility Code

Tick(✓)  
 CREATE  
 MODIFY  
 CANCEL

I/We hereby authorize NSE Clearing -New Mutual Fund Platform to debit tick (✓)  SB  CA  CC  SB-NRE  SB-NRO  Others

Bank A/c number

with Bank  IFSC  or MICR

an amount of Rupees  ₹

FREQUENCY  Monthly  Quarterly  Half Yearly  Yearly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

IIN  Mobile No.

Mandate ID  Email ID

I agree for the debit mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule for charges of the bank.

PERIOD  
 From  To   
 Or  Until Cancelled

Signature of Primary Account Holder \_\_\_\_\_ Signature of Account Holder \_\_\_\_\_ Signature of Account Holder \_\_\_\_\_

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

• This is to confirm the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/corporate to debit my account, based on the instructions as agreed & signed by me.  
 • I have understood that I am authorised to cancel/amend this mandate by a appropriately communicating the cancellation/amendment request to the user entity/corporate or the bank where I have authorised the debit.

Write <b>Payment Start date</b>  <b>Mandatory</b>	<b>Sign as per Bank records</b> (Sign of all account holders primary & Joint required)  <b>Mandatory</b>	Write <b>Name of Bank account holders</b> - as per bank records (All signatories name required)  <b>Mandatory</b>	Write <b>Mandate Amount</b> (In both figure & words) To be debited  <b>Mandatory</b>
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Mandatory columns to be filled		
① Date in DD/MM/YYYY format	② Select the Account type	③ Customer's bank account number
④ Name of the bank	⑤ IFSC code of customer bank	⑥ Amount in Words
⑦ Amount in figures	⑧ ACH start date	⑨ Name(s) of the customer(s) and Signature(s)

UMRN  Date

Sponsor Bank Code  Utility Code

Tick(✓)  
 CREATE  
 MODIFY  
 CANCEL

I/We hereby authorize NSE Clearing -New Mutual Fund Platform to debit tick (✓)  SB  CA  CC  SB-NRE  SB-NRO  Others

Bank A/c number

with Bank  IFSC  or MICR

an amount of Rupees  ₹

FREQUENCY  Monthly  Quarterly  Half Yearly  Yearly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

IIN  Mobile No.

Mandate ID  Email ID

I agree for the debit mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule for charges of the bank.

PERIOD  
 From  To   
 Or  Until Cancelled

Signature of Primary Account Holder \_\_\_\_\_ Signature of Account Holder \_\_\_\_\_ Signature of Account Holder \_\_\_\_\_

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

**Declaration:**

- I / We understand that Tata Capital Financial Services Limited ("TCFSL") is registered with The Association of Mutual Funds in India as a Mutual Fund Distributor bearing ARN No.84894 and Tata Capital Wealth is a service offering by TCFSL.
- I / We declare that all the details furnished in this application form are true, correct and up-to-date in all respects and that I/We have not withheld any information whatsoever. I / We undertake to inform TCFSL of any changes therein, immediately. 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 may be held liable for it.
- I/We understand that by opting for the execution services offered by TCFSL, I/We may be offered various investment products & services in its capacity as a Distributor.
- I / We understand that TCFSL shall only facilitate me / us in executing the transactions which I / We instruct to execute. Such facilitation by TCFSL shall not be construed as providing of any sort of advice as to the suitability of the investment by me / us and shall be facilitated by TCFSL purely on the basis of my/our instructions. I / We shall seek our own independent financial advice with respect to the merits and risks involved in the investment products offered. I / We understand that all investments are subject to market risks and price fluctuation risk. Further, I/We also understand that past performance of securities / instruments is not indicative of their future performance.
- I / We are making the investments at our own instance and being fully aware that, TCFSL, in its capacity as a distributor, does not guarantee any assured returns on the investment products offered by it.
- I / We are aware that Mutual Funds investments are subject to market risks and confirm that I / We have read and understood the scheme related documents carefully before investing.
- I / We confirm having read and understood the Risk Disclosure Documents carefully for my/our investments in Equity Shares, Derivatives or other instruments traded on the Stock Exchanges.
- In case of Real Estate Referral Service offering of TCFSL, I / We hereby confirm that I / We have read and understood the contents of the documents made available to me / us by my / our Relationship Manager as provided by the relevant builder / distributor. I / We have sought my / our own independent advice with respect to the merits and risks involved in the relevant project. Further, I / We also understand that the role of TCFSL in facilitating the relevant project for me / us, is purely as a Distributor / Referral Agent of the relevant project and that it neither assures anything on the financial & legal standing of the developer / builder nor the quality & delivery aspect of the relevant project. As such I / We confirm that as an investor in the relevant project, I / We shall have no recourse against TCFSL. I / We am / are interested in investing in the relevant project after having fully read and understood the terms & conditions and risks involved in the relevant project and an independent analysis and / or discussions with the developer of the relevant project.
- I / We hereby consent to TCFSL to carry out the KYC and other requisite checks by such processes as may be permissible under law including authentication/verification of documents or details submitted for KYC purpose, accessing and procuring data from databases maintained by statutory or other authorities constituted by law.
- I / We expressly authorise / consent to TCFSL, its group companies and other companies within the Tata group, its various service providers or agents, to contact me / us, through e-mails, telephones, messages, SMS, Whatsapp or other applications or otherwise even if my / our names appear in the Do Not Call or Do Not Disturb Register to inform me / us about the marketing schemes, promotional schemes, various financial and other products and/or offerings of other services, loyalty programs or any other aspect offered by them. I / We agree to the use of e-mails, messages, SMS, Whatsapp and/or other applications for communication or sharing of information or documents, agree to abide by the terms and conditions of such applications and agree to the risks associated with such applications or sharing of information through them. I / We agree that this consent shall continue to be valid even if the loan applied for has been rejected or closed.
- I/ We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/Email address.
- I/ We hereby allow and /or authorize TCFSL to utilize and/or procure my/our KYC information/documents such as identity address, signature etc from KYC registration agency as per SEBI KYC registration agency regulations, 2011 or any other authorized entity for sending it to the AMC for purpose of validation.
- TCFSL has adopted the Tata Code of Conduct ("TCoC") and all our employees and representatives are bound by the same. A copy of the TCoC is available on www.tatacapital.com. In case you notice any violation or potential violation of the TCoC by any of our employees or representatives, you may write to us at ethics@tatacapital.com intimating us of the same.
- TCFSL/its Group Companies reserve the right to retain the photographs and documents submitted with the application and will not return the same to me/us.
- I/We understand that insurance is a subject matter of solicitation. TCFSL does not underwrite the risk or act as an insurer or as an insurance broker to any of the insurers. TCFSL acts as a corporate agent (composite) of various insurance companies as permitted under IRDAI (Registration of corporate agents) regulations, 2015.
- I / We hereby expressly authorize the Company to send me / us communications regarding insurance products of the Company through any of the modes of communication referred above.
- I / We do not want to receive any communication regarding insurance products.
- I / We hereby consent to voluntarily submit to the Company at my / our own discretion, the physical copy of Aadhaar card / physical e Aadhaar / offline electronic adhaar xml as issued by the Unique Identification Authority of India ("UIDAI") after masking the Aadhaar number for the purpose of establishing my / our identity / address proof in line with the Directions / guidelines issued by the Regulatory and Statutory bodies from time to time. I / We further give my / our consent to the Company for verification of my / our Aadhaar to establish the genuineness in such manner as permitted by UIDAI or under any law from time to time. The consent and purpose of collecting Aadhaar has been explained to me / us in local language. The Company has informed me/us that my/our Aadhaar submitted to the Company shall not be used for any other purpose other than as per the requirements of law.
- I/We hereby declare that I/We have understood and read the terms & conditions given above.

 **Customer Signature:**

Applicant / Guardian
Name

Date :

Place :

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