



**TATA CAPITAL  
WEALTH**

Count on us

# On-Boarding Form Individual



Investment  
Services

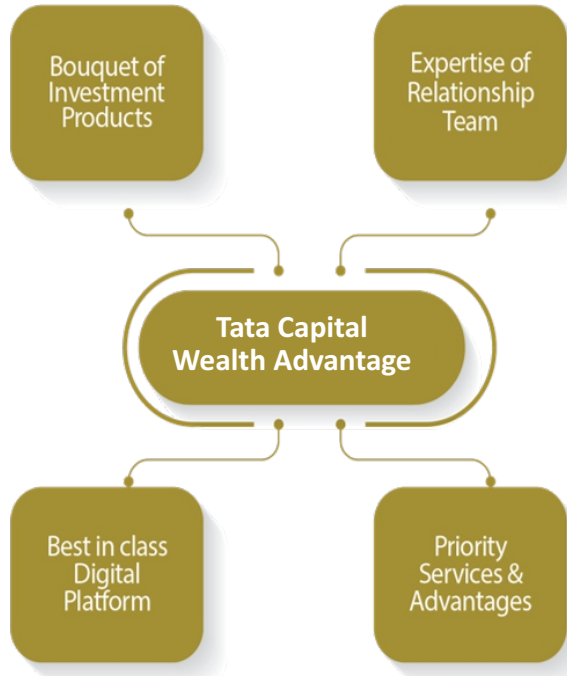


Protection  
Services



Financing  
Services

## Tata Capital Wealth Advantage



- **Products:** Bouquet of financial products & market updates by highly qualified in house research team
- **Relationship Team:** Team of experienced, well trained wealth managers & investment product specialists
- **Technology:** Best in class Digital Platform with Portfolio view, Analysis & Transaction Capabilities
- **Privileges:** Exclusive lifestyle benefits & other privileges

## Services for Individuals



Mutual Funds • Portfolio Management Services (PMS)  
Alternative Investment Funds/PE  
Corporate Fixed Deposits • Bond/ NCDs

Term Plans • Endowment & ULIPs • Medical Insurance  
Home, Travel Motor • Wellness Packages

Home Loans • Personal Loans • Loan Against Shares  
Loan Against Properties • Auto Loan  
Consumer Durable Loans • Credit Cards

## TATA CAPITAL FINANCIAL SERVICES LIMITED

AMFI-registered Mutual Fund Distributor bearing ARN No. 84894

Corporate Identity Number : U67100MH2010PLC210201 | [www.tatacapital.com](http://www.tatacapital.com)

Registered Office 11<sup>th</sup> Floor, Tower A, Peninsula Business Park, Ganpatrao Kadam Marg, Lower Parel, Mumbai 400013

Please affix your recent passport size photograph and sign across it.

Please fill all details in **CAPITAL LETTERS** only

ARN Code	84894 Tata Capital Financial Services Ltd.
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Tax Status  Individual  Minor  NRI  
Investor Type  Mutual Fund  Non Mutual Fund

### A. Identity Details

Title: Mr.  Mrs.  Ms.  Dr.  Others \_\_\_\_\_

1. Name of Applicant (as per PAN) \_\_\_\_\_

2. Father's / Spouse Name \_\_\_\_\_

3. Mother's Name \_\_\_\_\_

4. PAN Card \_\_\_\_\_ 5. Existing IIN No. \_\_\_\_\_

*(Mandatory PAN copy to be attached)*

6. a. KYC complied  Yes  No b. CKYC No. \_\_\_\_\_ c. KIN No. \_\_\_\_\_

7. Citizenship:  Indian  Others \_\_\_\_\_ 8. Date of Birth \_\_\_\_\_ (dd/mm/yyyy)

9. a. Place of Birth \_\_\_\_\_ b. Country of Birth \_\_\_\_\_

10. a. Gender:  Male  Female  Others b. Marital Status:  Married  Single

11. Customer  Salaried  Self-employed  Retired  Student

Occupation  Politician  Housewife  Others \_\_\_\_\_

If Salaried, Name of Employer: \_\_\_\_\_

12. Proof of Address: (Tick against the selected option.)

*(Separate proof for POI & POA required)*

Aadhaar  Passport (Expiry Date) \_\_\_\_\_ (DD/MM/YYYY)  Driving License (Expiry Date) \_\_\_\_\_ (DD/MM/YYYY)

*(Mask the aadhaar no.)*

Voter I.D.  Others \_\_\_\_\_

13. Proof of Identity: (Tick against the selected option)

*(Separate proof for POI & POA required)*

PAN Card  Passport  Driving License  Others \_\_\_\_\_

14. Guardian Details : (same as bank account in case of minor)

• Name of Guardian \_\_\_\_\_

• Date of Birth \_\_\_\_\_ (dd/mm/yyyy) • Place of Birth \_\_\_\_\_

• Mobile \_\_\_\_\_ • Email I.d \_\_\_\_\_

PAN Card • Relation with Minor \_\_\_\_\_

*(Guardian PAN copy is mandatory)*

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## B. Address Details

1. Address Type (Please select the type of address)

- Owned
  Rented/Leased
  Ancestral Family
  Company provided
  Other (Please specify) \_\_\_\_\_

2. Correspondence Address

Building No / Road No: \_\_\_\_\_

Landmark : \_\_\_\_\_ City: \_\_\_\_\_

Pin code : \_\_\_\_\_ State : \_\_\_\_\_ Country: \_\_\_\_\_

3. Permanent Address (Please tick if address is same as above)

Building No / Road No: \_\_\_\_\_

Landmark : \_\_\_\_\_ City: \_\_\_\_\_

Pin code: \_\_\_\_\_ State : \_\_\_\_\_ Country: \_\_\_\_\_

4. Contact Details

Telephone (Res) \_\_\_\_\_ Telephone (Off) : \_\_\_\_\_ Ext \_\_\_\_\_

Mobile: \_\_\_\_\_ Email I.D.: \_\_\_\_\_

Mobile No Relationship (self/spouse/parent/others) \_\_\_\_\_ Email ID Relationship (self/spouse/parent/others) \_\_\_\_\_

5. Overseas Address if Investor is an NRI

House/Road/Street: \_\_\_\_\_ City: \_\_\_\_\_

Pin/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

Mobile: \_\_\_\_\_ Alternate / Indian No (DD/MM/YYYY) \_\_\_\_\_

Passport No. \_\_\_\_\_ Country of Issue \_\_\_\_\_ Valid till \_\_\_\_\_

## C. Nomination Details

	Nominee 1	Nominee 2	Nominee 3
Name			
DOB (dd/mm/yyyy)			
Relationship			
Allocation %			
Guardian Name <small>(in case of minor)</small>			
Guardian PAN			
Address			
City			
Pin code / Zip code			
State			
Country			

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**D. FATCA-CRS Declaration & Supplementary KYC Documents** (Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance)

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

\* 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 <i>[TIN or other, please specify]</i>
			<i>[TIN or other, please specify]</i>

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

**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 :

Place :

 Signature:

Applicant / Guardian

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### E. Bank Account Details

(You may update details of up to 5 banks to do online Mutual Fund transaction. To add more bank details, kindly contact your RM)

Please Fill in the Bank details as per Holdings (Kindly provide cancelled cheque)

	Bank 1	Bank 2	Bank 3
1. Name of the Bank			
2. Branch Name			
3. Account No.			
4. Account Type (Saving / NRE / NRO / Minor)			
5. IFSC Code			
6. MICR Code			
7. Bank Address			
8. City			
9. Pin Code			
10. Country			

 Customer Signature:

(As per bank holding pattern)

### F. NRI Declaration

To, TCFSL

I / We hereby declare that the particulars given by me/ us in this application form is true and correct to the best of my/ our knowledge and information.

I/We undertake to inform you that I/We have complied the provisions under the Foreign Exchange Management Act, 1999 and the rules, regulations, notification, direction or order made thereunder, as amended from time to time and would continue to comply with the same in the future for any investments in India. I / We also agree and undertake to give such information/documents as may be required by Tata Capital Finance Services Limited ("the Company") with regard to the above declaration.

I/We further declare that I / We are not citizens of USA on the date of this declaration. I / We further declare that in case of any change in my / our residential status, I / We shall immediately intimate the Company of such change in residential status.

I / we hereby declare that I / We am / are not citizen(s), resident(s), person(s) or entities accessing from the European Union on the date of this declaration. I / We hereby undertake to promptly inform the Company of any change in my residential status.

Date :

Place :

 Customer Signature

Applicant / Guardian

Name

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### G. 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 /weam/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 declare that I/We have understood and read the terms & conditions given above.

 Customer Signature

Date :

Place :

Applicant / Guardian
<b>Name</b>

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#### H. Other confirmations by the Customer:


- I / we confirm that I / we have read the Scheme Information document and other offer documents, relevant product brochures in detail and understood the associated risks before investing.
- I / We confirm that the Relationship Manager collecting my / our application form and other documents have not received any payment in cash, bearer cheque or kind along with or in connection with loan application.
- I / We confirm that I / We am / are aware of TCFSL's online portal <https://apps8.tatacapital.com/MoneywarePortal> for reviewing my portfolio and understand that I / We am / are not required to share my / our login credentials with any of TCFSL's Relationship Manager, employee, agent or any third party.
- I / We confirm that none of TCFSL's Relationship Manager, employee or agent have committed any assured returns on Equity linked products or any other investment instruments.

#### I. General Instructions:

- Feel free to connect with your Relationship Manager to sort out your queries & concerns if any.
- Login to our online portal <https://apps8.tatacapital.com/MoneywarePortal> to view your portfolio at regular intervals.
- For any service related issues please feel free to write to us at [wealth@tatacapital.com](mailto:wealth@tatacapital.com), Call us on 1860 267 6060 or contact your Relationship Manager.
- Ensure to keep your KYC records updated at all points of time in KYC Registration Agency / Central KYC Registry. In case of any change, please write to us at [wealth@tatacapital.com](mailto:wealth@tatacapital.com), Call us on 1860 267 6060 or contact your Relationship Manager.

Date :

Place :

 Customer Signature

Applicant / Guardian
Name

#### J. DECLARATION APPLICABLE TO MUTUAL FUND TRANSACTIONS THROUGH NMFII PLATFORM

- 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 these terms and conditions, I/We confirm our acceptance to register ourselves under NMF II Platform and abide by the terms & conditions including KYC norms, as may be prescribed by NSE/TCFSL in this regarding from time to time.
- 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.
- 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.
- 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:
  - o 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.
  - o Scheme wise consolidated unit balance available in/my accounts as and when required.

Date :

Place :

 Customer Signature

Applicant / Guardian
Name

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**RM & Back Office Section** (For office use only)

**1. Investor category (Please tick the relevant option)**

Tata Employee  Non Tata Employee

If Tata Employer-please specify the below details:

1. Name of the Employer \_\_\_\_\_

2. Designation \_\_\_\_\_ 3. Location \_\_\_\_\_

**2. Source**

Self  Campaign/ Activity  Reference  Telesales  Cross Sell  
 Synergy (CFAB)  Synergy (CSFD)  Synergy (Others)  Pulse  Other \_\_\_\_\_

**3. NCA Category**

QNCA Profile  HH(Household)  RNCA  PQNCA  Other \_\_\_\_\_

**4. RM Remarks**

Employee Code	EUIN

Link to existing Customers Yes  No

Customer Name \_\_\_\_\_ Wealth ID \_\_\_\_\_

	Sourcing	Servicing	Employee ID	Employee Name	Employee Signature
	Kindly Tick the box				
ARM	<input type="checkbox"/>	<input type="checkbox"/>			
RM	<input type="checkbox"/>	<input type="checkbox"/>			

RSM Comment \_\_\_\_\_

RSM Name \_\_\_\_\_  RSM Signature \_\_\_\_\_

**5. In-Person Verification ("IPV") details:**

Originals Verified and Self Attested Documents copies received. Yes  No

Designation \_\_\_\_\_ Date of IPV \_\_\_\_\_ Place of IPV \_\_\_\_\_

(dd/mm/yyyy)

Verified by:

--	--	--

Name

EMP Code

RM Signature



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
---	---	---	--	------------------

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. \_\_\_\_\_ Name as in bank records 2. \_\_\_\_\_ Name as in bank records 3. \_\_\_\_\_ Name as in bank records

• 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</b> holders - 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>
--	---	--	--

**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)

eMandate  Physical

I hereby note that the limit for eMandate is 10 Lakhs and Physical Mandate is upto 1 Cr.

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. \_\_\_\_\_ Name as in bank records 2. \_\_\_\_\_ Name as in bank records 3. \_\_\_\_\_ Name as in bank records

• 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.  
 • I hereby authorize Tata Capital to register an E- Mandate on my behalf for processing payments towards the investments made by me. I understand that the mandate will be registered through an OTP verification process and that the mandate is revocable/amendable by me by appropriately communicating to my bank as per the prescribed process. I shall at all times be responsible for the mandate not getting processed or effected for any reason thereof and I understand that Tata Capital shall not be responsible or liable for the same.

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
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/PIO Card/OCI Card 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. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(\*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. 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.

**TATA CAPITAL FINANCIAL SERVICES LIMITED**

AMFI-registered Mutual Fund Distributor bearing ARN No. 84894

Corporate Identity Number : U67100MH2010PLC210201 | www.tatacapital.com

Registered Office 11<sup>th</sup> Floor, Tower A, Peninsula Business Park, Ganpatrao Kadam Marg, Lower Parel, Mumbai 400013

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