



**TATA CAPITAL
WEALTH**

Count on us

On-boarding Form

Non Individual



Investment Services

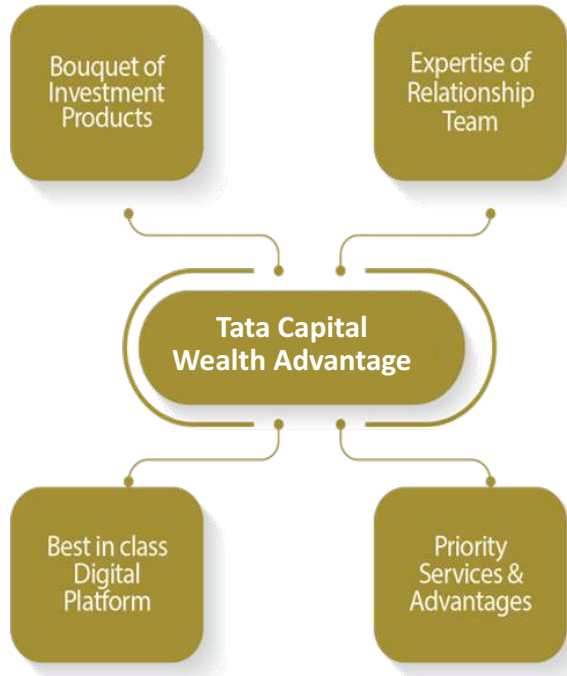


Protection Services



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 Business



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

Group Term • Group Medclaim • Motor Insurance
Travel Insurance • Other Insurance Solutions
Group Wellness packages

Corporate Financing • SME Loans • Term Loans
Promoter Funding • Construction Equipment Financing
Working Capital Loan • Channel Finance
Commercial Finance

TATA CAPITAL FINANCIAL SERVICES LIMITED

AMFI-registered Mutual Fund Distributor bearing ARN No. 84894

Corporate Identity Number : U67100MH2010PLC210201 | www.tatacapital.com

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

Please fill all details in CAPITAL LETTERS only

Product Interested

Mutual Funds Other than Mutual Fund Products
(ARN - 84894)

Tax Status

Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust Charities/Trust NGOs
 FI FII HUF AOP Bank Government Body Non - Government Organisation
 Defence Establishment Body of Individuals Society LLP

A. Identity Details

- Name of the Applicant: _____
(Please write complete name as per Certificate of Incorporation / Registration; leaving space between 2 words. Please do not abbreviate the Name)
- Date of Incorporation: _____ (DD/MM/YYYY) Place of Incorporation: _____ (DD/MM/YYYY)
- Registration No. (e.g. CIN) _____ 4. Date of commencement of business: _____ (DD/MM/YYYY)
- Permanent Account Number(PAN) _____

6. Proof of address to be provided by Applicant:

Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

*Latest Telephone Bill (only Land Line) *Latest Electricity Bill/Gas Bill *Latest Bank Account Statement
 Registered Lease/Sale Agreement of Office Premises

Any other proof of address document (as listed overleaf). Please specify _____

*Not more than 3 Monts old.

B. ADDRESS DETAILS (please see guidelines overleaf)

1. Address for Registered Office: _____

City/town/village: _____

Pin Code: _____ State: _____ Country: _____

2. Address for correspondence: _____

City/town/village: _____

Pin Code: _____ State: _____ Country: _____

2. Contact Details: Tel.(Off.) (ISD) (STD) _____ Tel. (Res.) _____ Fax: _____

Mobile No.: _____ Email id: _____

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Details of Authorised Signatories / Promoters / Partners

C. Other Details (please see guidelines overleaf)

Annexure:

Details of Authorised Signatories / Promoters / Partners/Karta/Trustees and whole time directors forming a part of On boarding form for Non - Individuals (Please use below annexure for Details)

Name of the Applicant: _____

Sl. No.	PAN	Name	DIN (For Directors)	Residential/Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed Person (PEP) / Related to PEP (RPEP)	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Declaration:

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we 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.

 **Authorised Signature:**

Date :

Place :

Name

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1. 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.
2. I/We understand that Tata Capital Wealth is a part of Tata Capital Financial Services Limited ("TCFSL").
3. 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.
4. 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.
5. I / We understand that TCFSL shall only facilitate me / us in executing the transactions which I / We instruct to execute in my / our capacity as Authorised signatory. 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.
6. 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.
7. 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.
8. 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.
9. 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 data bases maintained by statutory or other authorities constituted by law.
10. 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.
11. 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 in informing us of the same.
12. 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.
13. I / We also understand that insurance is the subject matter of solicitation. I/ we understand that TCFSL bearing License no. Ca0076, acts as a composite Corporate Agent for TATA AIA Life Insurance Company Limited, HDFC Life Insurance Company Limited, TATA AIG General Insurance Company Limited and New India Assurance Company Limited and that TCFSL does not underwrite the risk or act as an insurer or as an insurance broker to any of the Insurers. (tick whichever is applicable):
 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.
14. I/We hereby declare that I/We have understood and read the terms & conditions given above.

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RM & Back Office Section (For office use only)

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

Tata Group

Non Tata Group

If Tata group-please specify the below details:

1. Name of the Company _____

2. Type of Company _____ 3. Location _____

2. **Source**

Gross Annual Turnover Details (please specify): Income Range per annum: Below Rs. 3 Crs 3-5 Cr

5-10 Cr 10-25Cr 25-100 Cr and above 100 Cr

3. Net - worth as on (date) _____ (dd/mm/yyyy) - _____ :

_____ (dd/mm/yyyy) (*Net worth should not be older than 1 year)

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 Originals Verified and Self Attested Documents copies received. Yes No

Designation _____ Date of IPV _____ (dd/mm/yyyy) Place of IPV _____

Verified by:

--	--	--

Name

EMP Code

RM Signature

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Risk Profiling Declaration for Non - Individual

Name of the Company _____	New Profiling / Re-profiling (Plz tick)
Date of Profiling _____	Client ID/PAN _____

Self Declaration of Preferred Risk Profile (Plz tick):

1. Conservative 2. Balanced 3. Growth 4. HighGrowth

Risk Profile Grid

Risk Profile	Risk Profile Details	Indicative Model Portfolio	
Conservative	An investor who is prepared to accept lower returns with lower levels of risk in order to preserve your capital.	80%	20%
Balanced	An investor who would like to invest in both income and growth assets. You will be comfortable with calculated risks to achieve good returns.	50%	50%
Growth	An investor who is comfortable with a high volatility and high level of risk in order to achieve higher returns over long term. Your objective is to accumulate assets over long term by primarily investing in growth assets.	30%	70%
High Growth	An investor who is comfortable with a higher level of risk in order to achieve potentially higher returns. Capital security is secondary to potential wealth accumulation.	10%	90%

 **Signature of the Authorized Signatory
with Company Seal**

 **Signature of the Wealth Manager**

Signature

Signature

Date :

Date :

Place :

Place :

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Instructions / check list for filling onboarding 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 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 Onboarding form, should match with the documentary proof submitted.
5. If correspondence & permanent address/registered office 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 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. 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 with 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. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

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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 Court 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 Rs50,000/- p.a.
5. In case of institutional clients, namely, FIs, 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.
- F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Note:

- A. In case the non-individual customer is being on-boarded for investment in Mutual Fund:
 - a. In case it is already having a KRA registration Number, the documents referred in the table below are not mandatory. A Yes / No confirmation obtained from KRA to be kept on record.
 - b. In case it is not registered on KRA, the KYC documents along with documents referred in the mail below, to be sent to RTA / AMC for further action post verification.
- B. In case the non-individual customer is not being on-boarded for MF transaction, copy of balance sheets, may not be insisted upon, unless specifically required for the product being offered.

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.

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Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army / Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

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