Nippon India Mutual Fund
Wealth sets you free

Know Your Client (KYC)
Application Form (Legal Entity/Other than Individual)

Please fill in ENGLISH and in BLOCK LETTERS
Fields marked with '*' are mandatory fields

Application No. :

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick (✓) wherever applicable.
C) Please fill the date in OD-MM-YVYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant in mandatory for update application.
F) List of State / U.T code asper Indian Motor Vehicle Act, 1988isavailable at the end.
G) List of two character ISO3166 country codes is available at the end.
H) Please read section wise detailed guidelines/ instructions at the end.
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update
KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ *(Mandatory for KYC update request)*

1. IDENTITY DETAILS* (Please refer instruction **A** at the end)

☐ **Name**

Entity constitution Type* ☐ (Please refer instruction B at the end)

Status (Please tick (✓) the appropriate)

☐Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust ☐ Charities ☐ NGOs ☐ HUF ☐ FI ☐ FII ☐ FPI Category I
☐FPI Category II ☐ FPI Category III ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation
☐Defence Establishment ☐ Body of Individuals Society ☐ LLP ☐ Others (Please specify)

Date of Incorporation / Formation* D D — M M — Y Y Y Y Date of Commencement of Business D D — M M — Y Y Y Y
Place of Incorporation / Formation* ☐☐☐☐☐☐☐☐ Country of Incorporation / Formation* ☐☐ TIN or Equivalent Issuing Country ☐☐
PAN ☐☐☐☐☐☐☐☐☐☐ Form 60 furnished ☐ Registration No. (e.g. CIN) ☐☐☐☐☐☐☐☐☐☐☐
TIN/ GST Registration No. ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)

☐ Officially valid document(s) in receipt of person authorised to transact
☐ Certificate of Incorporation / Formation ☐ Registration Certificate No.
☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed
☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf
☐ Activity Proof-1(For Sole Proprietorship Only) ☐ Activity proof - 2 (For Sole Proprietorship Only)

3. PROOF OF ADDRESS (Please refer instruction **C** at the end)

☐ 3.1 Registered Office Address/ Place of business/ Correspondence Address

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

6. REMARKS (if any)

7. APPLICANT DECLARATION (Please refer instruction **G** at the end)

- 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. Incase any of the above information is found to be false or untrue or misleading or mis representing, I am aware that I may beheld liable for it.
- I here by consent to receiving information from Central KYC Registry through SMS/ Email on the above registered number / email address.

Date: D D — M M — Y Y Y Y

Place:

Signature / Thumb Impression of Applicant

8. ATTESTATION/ FOR OFFICE USE ONLY

Document Received ☐ Certified Copies ☐ Equivalent e-document ☐ In person Verification

KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS	
Identity Verification	☐ Done Date D D — M M — Y Y Y Y	Name	
Emp. Name		Code	
Emp, Code			
Emp. Designation			
Emp. Branch			
(Employee signature)		(Institution Stamp)	

This space is intentionally kept blank

Nippon India Mutual Fund
Wealth sets you free

Annexure A2
(Legal Entity/Other than Individual)

Please fill in ENGLISH and in BLOCK LETTERS
Fields marked with '*' are mandatory fields

Application No. :

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick (✓) wherever applicable.
C) Please fill the date in OD-MM-YVYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant in mandatory for update application.
F) List of State / U.T code asper Indian Motor Vehicle Act, 1988isavailable at the end.
G) List of two character ISO3166 country codes is available at the end.
H) Please read section wise detailed guidelines/ instructions at the end.
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update ☐ Delete
KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ *(Mandatory for KYC update and delete request)*

1. IDENTITY DETAILS* (Please refer instruction **A** at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

If KY(number is available, only 'Related Person Type' &'Name' is mandatory

Related Person Type* ☐ DirectorO Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify) ☐

DIN (Director Identification Number) ☐☐☐☐☐☐☐☐ *(Mandatory if Related Person Type is Director)*

1.1 PERSONAL DETAILS (Please refer instruction **E** at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as Id proof)	☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Maiden Name	☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Father/ Spouse Name	☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Mother Name	☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

Date of Birth* D D — M M — Y Y Y Y

Gender* ☐ M - Male ☐ Female ☐ T-Transgender

Nationality* ☐ IN-Indian ☐ Others (ISO 3166 Country Code ☐☐☐☐)

PAN ☐☐☐☐☐☐☐☐☐☐ ☐ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction **E** at the end)

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

- ☐ A - Passport Number ☐☐☐☐☐☐☐☐
- ☐ B - Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ C - Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ D-NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ E-National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ F-Proof of Possession of Aadhaar ☒☒☒☒☒☒☒☒☐☐☐☐
- II. ☐ E-KYC Authentication ☒☒☒☒☒☒☒☒☐☐☐☐
- III. ☐ F-Offline verification of Aadhaar ☒☒☒☒☒☒☒☒☐☐☐☐

Photo

Thumb Impression
Signature/

Address

Line 1* ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

1.3 CURRENT ADDRESS DETAILS (Please refer instruction **E** and the end)

Same as above mentioned address (In such cases address details as below need not be provided)
I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number
- ☐ B - Voter ID Card
- ☐ C - Driving Licence
- ☐ D-NREGA Job Card
- ☐ E-National Population Register Letter
- ☐ F-Proof of Possession of Aadhaar

II. ☐ E-KYC Authentication

III. ☐ F-Offline verification of Aadhaar

IV ☐ Deemed PoA

V ☐ Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District Pin / Post Code* State Country

1.4 (All communication will be sent on provide mobile no./ Email-ID) (Email Id in **CAPITAL** letters only) (Please refer instruction **D** at the end)

Tel. (Off) – Tel. (Res.) – Mobile –

Email ID

2. APPLICANT 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 mis representing, I am aware that I may beheld liable for it.
- I here by consent to receiving in formation from Central KYC Registry through SMS/Email on the above registered number email address.

Date: D D — M M — Y Y Y Y

Place:

Signature / Thumb Impression of Applicant

3. ATTESTATION/ FOR OFFICE USE ONLY

Document Received ☐ Certified Copies ☐ E- KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date D D — M M — Y Y Y Y	Name
Emp. Name	Code
Emp, Code	
Emp. Designation	
Emp. Branch	
(Employee signature)	(Institution Stamp)

INSTRUCTION / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be sel-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 and address of the applicant mention on the KYC form, should match with the documentary proof submitted.
5. If correspondence and permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name and 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 amin or, 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. 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/InsuranceCopy.
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 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.

F. In case of Non-Individuals, additional documents to be obtained from Non-indi`viduals, over & above the POi & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	• Copy of the balance sheets for the last 2 financial years (tobe 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	• 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
Trust	• 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 Truste es
HUF	• PAN of HUF • HUF Deed • Deed of declaration of HUF/List of copareners • Bank pass-book/bank statement in the name of HUF • Photograph, POi, POA, PAN of Karta
Unincorporated Association or a body of individuals	• 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	• 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)	• Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	• Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	• 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

Please Submit the KYC Documents on A4 Size Paper Only.

INSTRUCTIONS FOR FILLING ANNEXURE A2 (RELATED PERSON)

General Instructions:

1. Self-Certification of documents is mandatory.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the list mentioned under [I].
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. 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.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.

A. Clarification / Guidelines on filling 'Identity Details' section

1. Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B. Clarification/Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/ insurance number, citizen/personal identification/services code/number, and resident registration number)