Nippon India Mutual Fund
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Non Commercial Transaction Form

*To be filled in capital letters.
*Please strike off the irrelevant fields in the form wherever details are not updated

Folios /Account Numbers (Investor can opt for multiple requests in one single application form.)

1. Date of Birth (Write name in capital letters) *Please refer the instructions no. 16.

Name of First / Sole applicant

Date of Birth (supporting document such as PAN, birth certificate, passport copy or any other govt issued documents)

2. Consolidation Of Folios:

Target Folio

Source Folios 1 2 3 4 5

Note: The consolidation of folios will be affected only if all the details (**Including Bank details**) are identical in target and source folios.

3. Update/Change of Contact Details *Please refer the instructions no. 14.

First Holder

Mobile No. (For Receiving Transaction Alerts via SMS) Tel. No. STD Code Office Residence

Mobile No. provided pertains to

◯ Self ◯ Spouse ◯ Dependent children ◯ Dependent Sibling ◯ Dependent Parents ◯ A Guardian in case of a minor ◯ POA ◯ Custodian ◯ PMS

Email ID (CAPITAL letters only) (For Receiving Transaction Alerts Via Email)

Email ID provided pertains to

◯ Self ◯ Spouse ◯ Dependent children ◯ Dependent Sibling ◯ Dependent Parents ◯ A Guardian in case of a minor ◯ POA ◯ Custodian ◯ PMS

Second Holder

Mobile No. (For Receiving Transaction Alerts via SMS)

Mobile No. provided pertains to

◯ Self ◯ Spouse ◯ Dependent children ◯ Dependent Sibling ◯ Dependent Parents ◯ A Guardian in case of a minor ◯ POA ◯ Custodian ◯ PMS

Email ID (CAPITAL letters only) (For Receiving Transaction Alerts Via Email)

Email ID provided pertains to

◯ Self ◯ Spouse ◯ Dependent children ◯ Dependent Sibling ◯ Dependent Parents ◯ A Guardian in case of a minor ◯ POA ◯ Custodian ◯ PMS

Third Holder

Mobile No. (For Receiving Transaction Alerts via SMS)

Mobile No. provided pertains to

◯ Self ◯ Spouse ◯ Dependent children ◯ Dependent Sibling ◯ Dependent Parents ◯ A Guardian in case of a minor ◯ POA ◯ Custodian ◯ PMS

Email ID (CAPITAL letters only) (For Receiving Transaction Alerts Via Email)

Email ID provided pertains to

◯ Self ◯ Spouse ◯ Dependent children ◯ Dependent Sibling ◯ Dependent Parents ◯ A Guardian in case of a minor ◯ POA ◯ Custodian ◯ PMS

4. FATCA and CRS DETAILS **For Individuals (Mandatory)** **Non Individual Investors should mandatorily fill separate FATCA/CRS details form**

Please indicate all Countries in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN etc.

Sole/First Applicant/Guardian			Second Applicant			Third Applicant		
Country #^**	Tax Payer Ref. ID No%	Identification Type	Country #^**	Tax Payer Ref. ID No%	Identification Type	Country #^**	Tax Payer Ref. ID No%	Identification Type
1								
2								
3								
Country of Birth^**			Country of Birth^**			Country of Birth^**		
Country of Nationality^**			Country of Nationality^**			Country of Nationality^**		

In case Country of Tax Residence is only India then details of Country of Birth & Nationality need not be provided. %In case Tax Identification Number is not available, kindly provide its functional equivalent

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Acknowledgment Slip

(To be filled by the Investor)

Received from Mr./Mrs. _____ Folio/Account No:

☐ Date of Birth ☐ Consolidation Of Folios ☐ Update/Change of Contact Details ☐ FATCA and CRS DETAILS
☐ Change of Mode Of Operation ☐ Power of Attorney (POA) ☐ Change of Income Distribution cum capital withdrawal Option
☐ Release Unclaimed Amount ☐ KYC Updation ☐ Revalidation of IDCW/ Redemption cheque ☐ Updation/Correction of PAN

5. Change of Mode Of Operation (Applicable only if there are more than one applicant in the Folio)

☐ Joint ☐ Any One or Survivor(s)

6. Power of Attorney (POA) ☐ Registration ☐ Cancellation *Please refer the instructions for the documents to be submitted.

Name of POA Holder: _____ PAN No. of POA

7. Change of Income Distribution cum capital withdrawal Option

Scheme _____ **Option** ☐ Payout to Reinvestment ☐ Reinvestment to Payout

8. Release Unclaimed Amount

☐ I would request you to kindly release the unclaimed amount in the folio to the registered bank account.

9 KYC Updation (Please Tick) *Please refer the instructions no. 12 for the documents to be submitted.

☐ First / Sole applicant ☐ Guardian (In case of Minor) ☐ Second Applicant ☐ Third Applicant

10. Revalidation of Income Distribution cum capital withdrawal(IDCW)/ Redemption cheque *Please refer the instructions no. 15

☐ I/We are in receipt of Redemption/ Income Distribution cum capital withdrawal(IDCW) warrant as below.

Cheque No. : | **Cheque Date:** D D M M Y Y Y Y | **Cheque Amount:**

I/ We are herewith enclosing the warrant as I/ We could not deposit the same due to the below reason:

1. Bank details incorrectly mentioned 2. Warrant validity period has expired

☐ I request to reissue the said warrant after necessary revalidation without change in bank Mandate.

11. Updation/Correction of PAN *Please refer the instructions for the documents to be submitted.

First / Sole applicant	PAN No.		PAN Proof Enclosed ☐
Guardian (In case of Minor)	PAN No.		PAN Proof Enclosed ☐
Second Applicant	PAN No.		PAN Proof Enclosed ☐
Third Applicant	PAN No.		PAN Proof Enclosed ☐

Signature/s

SIGN HERE			
	First / Sole Applicant / Guardian/ Authorised Signatory	Second Applicant/ Authorised Signatory	Third Applicant/ Authorised Signatory

Note: Request letter needs to be signed by all the unit holders according to the mode of operation.

INSTRUCTIONS

1. This form should be used to update the below mentioned Non Commercial requests
   a) Date of Birth
   b) Consolidation Of Folios
   c) Update/Change of Contact Details
   d) FATCA and CRS DETAILS
   e) Change of Mode Of Operation
   f) Power of Attorney (POA)
   g) Change of Income Distribution cum capital withdrawal Option
   h) Release Unclaimed Amount
   i) KYC Updation
   j) Revalidation of IDCW/ Redemption cheque
   k) Updation/Correction of PAN
2. In case there is more than one holder in the folio then the form needs to be signed as per the mode of holding.
3. In case of Change of Mode of Operation all the unit holders need to mandatorily sign on the NCT form in order to have consent of all the unit holders.
4. In case of Updation of PAN self attested copy of the PAN Card needs to be submitted.
5. In case of Updation of KYC copy of the KYC acknowledgment issued by CVL / KRA needs to be submitted.
6. Documents to be submitted for the registration of Power of Attorney
   a) Copy of Power of Attorney on Rs. 100/- stamp paper, duly signed by all the unitholder(s) and the Power of Attorney Holder, and Original attestation by Notary public \ Gazetted officer.
   b) In case of the POA holder being a company, the POA holder to provide the list

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Acknowledgment Slip

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Registered Office Address: 30th Floor, One Lodha Place, Senapati Bapat Marg, Lower Parel, Mumbai - 400013.

Customer Care: 1860 266 0111 (Call charges apply) | https://mf.nipponindiaim.com

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of its Authorized signatories, with their signatures duly attested by the POA holder company.

c) Pan and KYC of the POA holder

7. If the investor has an existing POA registered in the folio and wishes to change the same then he has to fill in the details under both Cancellation & Registration of POA.

8. In case the investor wishes to change the Income Distribution cum capital withdrawal Option for multiple schemes in the folio then seperate NCT forms need to be filled for each scheme.

9. Communications to the investor

If the investor(s) has /have provided his/their email address in the application form or any subsequent communication in any of the folio belonging to the investor(s), NIMF /AMC reserves the right to use Electronic Mail (email) as the default mode to send various communication which includes account statements for transactions done by the investor(s).

The investor(s) may request for a physical account statement by writing or calling NIMF's Investor Service center/Registrar & Transfer Agent. In case of specific request received from the investor(s), NIMF shall endeavor to provide the account statement to the investor(s) within 5 working days from the receipt of such request. NIMF shall comply with SEBI Circular No IMD/CIR/12/80083/2006 dated November 20,2006 with respect to dispatch of Account Statement.

10 Investors may submit the duly completed application forms along with the requisite documents at any of the Designated Investor Service Centres. The addresses of the Designated Investor Service Centres are available on the website https://mf.nipponindiaim.com

11. **Permanent Account Number (PAN)**

SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) irrespective of the amount of purchase. *Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her father or mother or the guardian, signing on behalf of the minor, as the case may be. In order to verify that the PAN of the applicants (in case of application in joint names, each of the applicants) has been duly and correctly quoted therein, the applicants shall attach along with the purchase application, a photocopy of the PAN card duly self-certified along with the original PAN Card. The original PAN Card will be returned immediately across the counter after verification *includes fresh/ additional purchase, Systematic Investment. Micro SIP & Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission however they are required to mandatorily submit KYC Acknowledgment copy to Nippon India Mutual Fund. Applications not complying with the above requirement may not be accepted/ processed. Additionally, in the event of any Application Form being subsequently rejected for mismatch / non-verification of applicant's PAN details with the details on the website of the Income Tax Department, the investment transaction will be cancelled and the amount may be redeemed at the applicable NAV, subject to payment of exit load, if any.

Please contact any of the Investor Service Centres/ KFinTech/ Distributors or visit our website https://mf.nipponindiaim.com for further details.

12. **Prevention of Money Laundering and Know Your Client (KYC)**

In order to reduce hardship and help investors dealing with SEBI intermediaries, SEBI issued three circulars - MIRSD/SE/Cir-21/2011 dated October 05, 2011, MIRSD/Cir-23/2011 dated December 02, 2011 and MIRSD/Cir-26/2011 dated December 23, 2011 informing SEBI registered intermediaries as mentioned therein to follow, with effect from January 01, 2012, a uniform KYC compliance procedure for all the investors dealing with them on or after that date. SEBI also issued KYC Registration Agency ("KRA") Regulations 2011 and the guidelines in pursuance of the said Regulations and for In-Person Verification ("IPV").

(i) Requirement for the existing investors in mutual funds (upto December 31, 2011): For the existing investors in mutual funds who have already complied with the KYC requirement (defined for the purpose of this addendum as KYC compliant) and have the KYC compliance letter issued to them by CDSL Ventures Limited are exempt from following the new KYC procedure effective January 01, 2012 for the purpose of making additional investment with any SEBI registered mutual fund. If, however, the KYC compliant investors would like to deal with any SEBI registered intermediary other than mutual funds, they will have to follow the new KYC compliance procedure.

(ii) Requirement for the new investors in mutual funds (From January 1, 2012) : With effect from January 01, 2012, all investors other than KYC compliant investors as defined above are required to follow the new KYC compliance procedure as mentioned below while making any investing with the Fund:

- Provide the complete details in the KYC application form along with the required documents (for individual investors or nonindividual investors as appropriate). The said form is available on NIMF's website i.e. https://mf.nipponindiaim.com or on the website of Association of Mutual Funds In India i.e. www.amfiindia.com or on the website of any authorised KRA's.

- KYC application and necessary document should either come along with financial transaction or when the client chooses to trade / invest / deal through the Intermediary and an account is opened in the schemes of NIMF, the investor is required to submit, in person, the completed KYC application form along with all the necessary documents as mentioned in the KYC application form in any of the offices of the distributors (details provided in the following note) or Registrar and Transfer Agent of the NIMF / NAM i.e. KFin Technologies Limited (Formerly KFin Technologies Private Limited) and the NIMF;

- In line with SEBI circular MIRSD/Cir-26/2011 dated December 23, 2011, it is mandatory for SEBI registered intermediaries to carry out "In-Person Verification" ("IPV") of any investor dealing with a SEBI registered intermediary for investments in a mutual fund, the Asset Management Companies, Registrar & Transfer Agent and distributors who comply with the certification process of National Institute of Securities Market (NISM) or Association of Mutual Funds in India (AMFI) and have undergone the process of "Know Your Distributor(KYD)" are authorised to carry out the IPV. However, in case of applications received by the mutual funds directly from the clients (i.e. not through any distributor), they may also rely upon the IPV performed by the scheduled commercial banks. Unless the IPV process is completed, the intermediary will not be able to process the KYC and obtain a temporary acknowledgment for submission of all the documents. Hence the investor will not be considered as KYC compliant under the new KYC compliance procedure and hence will not be permitted to make any investment in the Fund;

- Once all the documents are verified by a KRA, they will send the investor a letter within 10 working days from the date of receipt of necessary documents by them from the Fund or its Registrar and Transfer Agent informing the investor either about compliance by the investor of the new KYC compliance procedure ("final acknowledgment") or any deficiency in submission of details or documents.

- On the basis of the temporary acknowledgement or the final acknowledgement the investor would be eligible to deal with any of the SEBI intermediaries as mentioned in the above mentioned SEBI circulars.

- KRA will send confirmation to investors within 10 days of document receipt form Intermediary All investors (individual and non- individual) are required for KYC compliance. However, applicants should note that minors cannot apply for KYC compliance and any investment in the name of minors should be through a Guardian, who should be KYC compliant for the purpose of investing with a Mutual Fund. Also applicants/ unit holders intending, to apply for units currently holding units and operating their Mutual Fund folios through a Power of Attorney (PoA) must ensure that the issue of PoA and the holder of the PoA must mention their KYC compliance status at the time of investment. PoA holders are not permitted to apply for KYC compliance on behalf of the issuer of the PoA, Separate procedures are prescribed for change in name, address, and other KYC related details, should the applicant desire to change such information, POS will extend the services of effecting such changes.

13. Consolidation of Folios

1. Folios can be consolidated only if names of the all unit holders (and the pattern of holding), tax status, nomination and mode of operation (single/ joint/ either or survivor) are same in all source folios
2. All joint holders must sign on consolidation requests irrespective of the mode of operation (single/ joint/ either or survivor) in the source folios.
3. Folios once consolidated cannot be separated.
4. Consolidation is effected at the folio level and not at the scheme level.
5. Bank name, Account number, bank account type (including MBR or NON MBR) is mandatory

14. Contact Details:

Applicants should provide contact information such as email address, mobile number and other telephone numbers. The fund sends transaction information and alerts via email and SMS, which will assist them keep track of the activities in the folio. The investors should provide primary account holder.s own email ID and mobile number while providing the contact details.

15. Revalidation Of Idcw/ Redemption Cheque - Mandatory Enclosure/s

Please submit any one of the following Documents in case of change in bank

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details

- A cancelled original cheque leaf/ Self attested copy of cancelled cheque
- Bank statement or Latest Passbook (Having entries not more than 3 months old)
- Bank Letter

1. If a cheque is being submitted, account number and name of the first unit holder should be printed on the face of the cheque
2. The document being submitted should clearly evidence the bank name, account number and name of all account holders.
3. In the event of a request for change in bank account mandate being invalid/ incomplete/ not satisfaction in any respect/ or not meeting any requirements to the satisfaction of the AMC/ Mutual Fund, the request for such change may not be processed. Redemptions/ IDCW payments, if any, will be processed and paid to the last registered bank account information.
4. AMC/ Mutual Fund will not be liable in case the redemption/ IDCW proceeds are credited to existing bank mandate account upon rejection of change of bank mandate request.

16. Birth Date: Date of Birth of the minor is mandatory while opening the account /folio. In case the investment is done on behalf of the minor the relationship/status of the guardian as father, mother or legal guardian and Date of birth of the minor shall be specified in the application form and supporting document such as PAN, birth certificate, passport copy or any other govt issued documents).

17. **a. Foreign Account Tax Compliance Act ("FATCA"):** In accordance with the relevant provisions of the Foreign Account Tax Compliance Act ("FATCA") as contained in the United States Hiring Incentives to Restore Employment ("HIRE") Act, 2010, there is a likelihood of withholding tax being levied on certain income/ receipt sourced from the subjects of United States of America ("US") with respect to the schemes, unless such schemes are FATCA compliant. In this regard, the respective governments of India and US have agreed on the principal terms of a proposed Inter-Governmental Agreement (IGA) and the same is likely to be executed in near future. In terms of this proposed IGA, Nippon India Mutual Fund ("NIMF") and/ or Nippon Life India Asset Management Limited ("NAM India"/ "AMC") are likely to be classified as a "Foreign Financial Institution" and in which case NIMF and/ or would be required, from time to time, to (a) undertake the necessary due-diligence process; (b) identify US reportable accounts; (c)collect certain required information/ documentary evidence ("information") with respect to the residential status of the unit holders; and (d) directly or indirectly disclose/report/ submit such or other relevant information to the appropriate US and Indian authorities. Such information may include (without limitation) the unit holder's folio detail, identity of the unit holder, details of the beneficial owners and controlling persons etc. In this regard and in order to comply with the relevant provisions under FATCA, the unit holders would be required to fully cooperate & furnish the required information to the AMC, as and when deemed necessary by the latter in accordance with IGA and/ or relevant circulars or guidelines etc, which may be issued from time to time by SEBI/ AMFI or any other relevant & appropriate authorities. The applications which do not provide the necessary information are liable to be rejected. The applicants/ unit holders/ prospective investors are advised to seek independent advice from their own financial & tax consultants with respect to the possible implications of FATCA on their investments in the scheme(s).

b. Details under FATCA/Foreign Tax Laws: Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in information provided, please ensure you advise us promptly, i.e., within 30 days. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number. Foreign Account Tax compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

c. If you are classified as a passive NFFE for FATCA purpose, please include in the section relating to Ultimate beneficial Owner (UBO), details of any specified US person having controlling interest in the foreign country information field along with your US Tax Identification Number for FATCA purposes. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

d. Declaration under FATCA

a) the information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.

b) the information provided by me/us in the Form, its supporting Annexure as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.

c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.

d) I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexure as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self certification along with documentary evidence.

e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /RBI for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.

f) I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.

g) It shall be my / our responsibilities to educate myself / our self and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.

h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.

I) I/We shall indemnify the Company for any loss that may arise to the Company on a count of providing incorrect or incomplete information.

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