



FATCA, CRS AND ADDITIONAL KYC (Details and Self Certification form Individuals including Sole-Proprietor)

Please read all the instructions carefully before filling the form
Please fill in ENGLISH and in BLOCK LETTERS with black ink

Fields marked with (*) are mandatory and if not filled, the form is liable for rejection

UCRN Distributor / MFU user to write the system generated reference number here

A. * ACCOUNT HOLDER INFORMATION:-

Common Account Number (CAN)

Name(s)	PAN/PEKRN
Sole/First/Primary Holder	
Second Holder	
Third Holder	
Guardian (in case of Minor)	

B. * Additional KYC Details:

a. Sole/Primary Applicant (or) Guardian (if sole/primary applicant is a minor):

Aadhaar

1. Gross Annual Income Details please tick (✓)	<input type="checkbox"/> < 1 Lac	<input type="checkbox"/> 1 - 5 Lacs	<input type="checkbox"/> > 5 - 10 Lacs	<input type="checkbox"/> > 10 - 25 Lacs	<input type="checkbox"/> > 25 Lacs - 1 Crore	<input type="checkbox"/> > 1 Crore	(OR)
	Net-worth in ₹. <input type="text"/>						as on (date) DD / MM / YYYY (not older than 1 year)
2. Primary Source of Wealth (please tick (✓) any one):	<input type="checkbox"/> Salary	<input type="checkbox"/> Business Income	<input type="checkbox"/> Gift	<input type="checkbox"/> Ancestral Property	<input type="checkbox"/> Rental Income	<input type="checkbox"/> Prize Money	
	<input type="checkbox"/> Royalty	Others (please specify) <input type="text"/>					
3. Occupation (please tick (✓) any one):	<input type="checkbox"/> Business	<input type="checkbox"/> Service	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student
	<input type="checkbox"/> Pvt Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Government Service	Others <input type="text"/>		
4. Politically Exposed Person (PEP) Status (please tick (✓) anyone):	<input type="checkbox"/> I am a PEP			<input type="checkbox"/> I am related to PEP		<input type="checkbox"/> Not Applicable	
5. Type of address given at KRA (please tick (✓) anyone):	<input type="checkbox"/> Residential or Business		<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office		
6. Residential Status of Guardian (if sole/primary applicant is a minor) (please tick (✓) anyone):	<input type="checkbox"/> RES.IND	<input type="checkbox"/> NRI-NRE	<input type="checkbox"/> NRI-NRO	<input type="checkbox"/> FOREIGN NATIONAL		<input type="checkbox"/> PIO	

b. Second Applicant:

Aadhaar

1. Gross Annual Income Details please tick (✓)	<input type="checkbox"/> < 1 Lac	<input type="checkbox"/> 1 - 5 Lacs	<input type="checkbox"/> > 5 - 10 Lacs	<input type="checkbox"/> > 10 - 25 Lacs	<input type="checkbox"/> > 25 Lacs - 1 Crore	<input type="checkbox"/> > 1 Crore	(OR)
	Net-worth in ₹. <input type="text"/>						as on (date) DD / MM / YYYY (not older than 1 year)
2. Primary Source of Wealth (please tick (✓) any one):	<input type="checkbox"/> Salary	<input type="checkbox"/> Business Income	<input type="checkbox"/> Gift	<input type="checkbox"/> Ancestral Property	<input type="checkbox"/> Rental Income	<input type="checkbox"/> Prize Money	
	<input type="checkbox"/> Royalty	Others (please specify) <input type="text"/>					
3. Occupation (please tick (✓) any one):	<input type="checkbox"/> Business	<input type="checkbox"/> Service	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student
	<input type="checkbox"/> Pvt Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Government Service	Others <input type="text"/>		
4. Politically Exposed Person (PEP) Status (please tick (✓) anyone):	<input type="checkbox"/> I am a PEP			<input type="checkbox"/> I am related to PEP		<input type="checkbox"/> Not Applicable	
5. Type of address given at KRA (please tick (✓) anyone):	<input type="checkbox"/> Residential or Business		<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office		
6. Residential Status (please tick (✓) anyone):	<input type="checkbox"/> RES.IND	<input type="checkbox"/> NRI-NRE	<input type="checkbox"/> NRI-NRO	<input type="checkbox"/> FOREIGN NATIONAL		<input type="checkbox"/> PIO	

c. Third Applicant:

Aadhaar

1. Gross Annual Income Details please tick (✓)	<input type="checkbox"/> < 1 Lac	<input type="checkbox"/> 1 - 5 Lacs	<input type="checkbox"/> > 5 - 10 Lacs	<input type="checkbox"/> > 10 - 25 Lacs	<input type="checkbox"/> > 25 Lacs - 1 Crore	<input type="checkbox"/> > 1 Crore	(OR)
	Net-worth in ₹. <input type="text"/>						as on (date) DD / MM / YYYY (not older than 1 year)
2. Primary Source of Wealth (please tick (✓) any one):	<input type="checkbox"/> Salary	<input type="checkbox"/> Business Income	<input type="checkbox"/> Gift	<input type="checkbox"/> Ancestral Property	<input type="checkbox"/> Rental Income	<input type="checkbox"/> Prize Money	
	<input type="checkbox"/> Royalty	Others (please specify) <input type="text"/>					
3. Occupation (please tick (✓) any one):	<input type="checkbox"/> Business	<input type="checkbox"/> Service	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student
	<input type="checkbox"/> Pvt Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Government Service	Others <input type="text"/>		
4. Politically Exposed Person (PEP) Status (please tick (✓) anyone):	<input type="checkbox"/> I am a PEP			<input type="checkbox"/> I am related to PEP		<input type="checkbox"/> Not Applicable	
5. Type of address given at KRA (please tick (✓) anyone):	<input type="checkbox"/> Residential or Business		<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office		
6. Residential Status (please tick (✓) anyone):	<input type="checkbox"/> RES.IND	<input type="checkbox"/> NRI-NRE	<input type="checkbox"/> NRI-NRO	<input type="checkbox"/> FOREIGN NATIONAL		<input type="checkbox"/> PIO	

C. * Details required under Foreign Tax Laws (Mandatory please refer instructions):

Applicant Details	POB - Place of Birth (City), COB - Country of Birth, COC - Country of Citizenship CON - Country of Nationality	If NO, please tick (✓) below	Are you tax resident of any country other than India?		
			Country of Tax Residency #	Tax Identification Number %	Identification Type (TIN or Other, please specify)
Sole / Primary Applicant	POB :	<input type="checkbox"/>	1.	1.	1.
	COB :	I am a tax resident of India and not resident of any other country	2.	2.	2.
	COC :		3.	3.	3.
	CON :		4.	4.	4.
Guardian (in case of Minor Applicant)	POB :		<input type="checkbox"/>	1.	1.
	COB :	I am a tax resident of India and not resident of any other country	2.	2.	2.
	COC :		3.	3.	3.
	CON :		4.	4.	4.
Second Applicant	POB :		<input type="checkbox"/>	1.	1.
	COB :	I am a tax resident of India and not resident of any other country	2.	2.	2.
	COC :		3.	3.	3.
	CON :		4.	4.	4.
Third Applicant	POB :		<input type="checkbox"/>	1.	1.
	COB :	I am a tax resident of India and not resident of any other country	2.	2.	2.
	COC :		3.	3.	3.
	CON :		4.	4.	4.

- To also include USA, where the individual is a citizen / green card holder of The USA.

% - In case Tax Identification Number is not available, kindly provide its functional equivalent⁵

\$ - It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

D. Declaration and Signature(s):

Date : DD / MM / YYYY

Place :

I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this form is true, correct and complete to the best of my/our knowledge and belief and provided after necessary consultation with tax professionals. I/We hereby agree and confirm to inform MFU/AMC/Mutual Fund/Trustees for any modification to this information promptly. I/We further agree to abide by the provisions of the Scheme related documents inter alia provisions on Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI):

Sign Here	Sign Here	Sign Here
Sole/First Applicant/Guardian/POA Holder	Second Applicant	Third Applicant

General Terms and Conditions

General Instructions:

- 1 The Form should be completed in ENGLISH and in BLOCK LETTERS only. Please tick in the appropriate box for relevant options wherever applicable. Do not overwrite.
- 2 Information marked (*) are mandatory. Applications are liable to be rejected without any intimation to the applicants, if all the required details are not provided by all the investors / unit holders.
- 3 For any correction / changes if made in the Form, the Applicant(s) shall enter the correct details pursuant to cancellation of incorrect details and authenticate the corrected details by counter-signing against the changes. Applications with any such changes not counter-signed by the applicants are liable for rejection.
- 4 This form can be used by those investors who have earlier not provided the requirements on Additional KYC details, FATCA and CRS details.
- 5 This form can also be used and attached by those investors who are using OLD CAN Registration Forms (CRF) which do not contain new requirements on FATCA, CRS and KYC details.

FATCA and CRS Terms and Conditions

Details under FATCA & CRS:

- 1 The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.
- 2 All Applicants/Unit holders are required to mandatorily provide the relevant information for FATCA and CRS.
- 3 Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.
- 4 All Applicants/Unit holders must be aware that failure to providing all relevant details in relevant section and/or relevant forms will result in rejection of their investment application form, refund of application money, reversal of units allotted and MFU/Fund/AMC will not be liable for any consequent loss to the Applicants/Unit holders.
- 5 Applicants like Individuals (including in the name of sole proprietorship firm), joint applicants are required to provide details, as mentioned in this section, like Place and Country of birth, Country of Citizenship/Nationality mandatorily. If the applicant/s have any countries of tax residency other than India, details of all such countries and relevant tax identification number needs to be provided. If the space in the form is not adequate, applicants are required to attach additional sheets with information duly signed.
- 6 Please note that you may receive more than one request for information if you have multiple CANS. Therefore, it is important that you respond to each request, even if you believe you have already supplied any previously requested information.

FATCA and CRS Instructions

- 1 If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.
- 2 \$ - It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.
- 3 Applicant/unit holder should note that they also specifically authorize to disclose, share, remit in any form, mode or manner, all or any of the information provided by them, including all changes, updates to such information as and when provided, to the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / associated parties / 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 and other investigation agencies without any obligation of advising me/us of the same. Further, applicant/unit holder also authorizes to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation and for other relevant purposes.
- 4 Applicant/unit holder also undertakes to keep the Mutual Fund informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information / documentary proof as may be required.
- 5 In case any of the specified information provided by the applicant/unit holder is found to be false or untrue or misleading or misrepresenting, applicant/unit holder will be solely liable and will indemnify the Mutual Fund, it's Sponsor, Asset Management Company, Trustees, their employees / associated parties and the RTAs.
- 6 In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below. However, if the investor has provided these details already in response to any request from the Fund, then they may choose to ignore this section.

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. Place of Birth	1 Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;
	2 Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND
	3 Any one of the following documents: a. Certified Copy of "Certificate of Loss of Nationality (or) b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; (or) c. Reason the customer did not obtain U.S. citizenship at birth
Residence/mailling address in a country other than India	1 Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and
	2 Documentary evidence (refer list below)
Telephone number in a country other than India	If no Indian telephone number is provided
	1 Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and
	2 Documentary evidence (refer list below)
	If Indian telephone number is provided along with a foreign country telephone number
	1 Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR
	2 Documentary evidence (refer list below)
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	1 Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and
	2 Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- 1 Certificate of residence issued by an authorized government body*
 - 2 Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)
- * Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

Additional KYC Details

- 1 Each applicant / guardian is required to provide the Income or Networth details as on a specific date, Occupation and their Political Exposure.
- 2 Since some details sought in the section are newly required as per the regulation/guidelines, please provide all the details even if some of them have already been provided at the time of CAN creation.
- 3 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.

Declaration and Signatures

The Application should be signed by all applicants and the signature(s) should be in English or in any Indian Language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases to be attested by a Magistrate or Notary Public under his/her official seal. Applications on behalf of minors should be signed by their natural parent/legal Guardian.