



M F Systematic Investment Plan Form						
Customer Relationship Number Customer / Applicant's Name Investment Account Number Bank Account Number Defined Period						
"I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor has not charged any advisory fees on this transaction."						
Signature(s)						
Date: Applicant 1			Applicant 2			Applicant 3
Setting up a Systematic Investment Plan						
I/Wehereby authorize	Kotak Mahindra Bank Ltd. to debi	t mv/our Kotak Mahindra Bank acco	ount as given below, towards Systematic Invi	estment Plan into mutual fun	d schemes as listed in the table	below:
Cancelling a Systematic Investment Plan		,				
I/We authorize	e the Kotak Mahindra Bank Ltd. to	cancel the Systematic Investment Pl	an that have been set up for the purpose of i	investment in the mutual fund	d schemes as listed in the table	below:
Tick anyone of the above  Details of Investment:						
Frequency: Monthly Quartely						
For Purchase / Redemption Transactions: Scheme	Option DR/DP/G/B*	Folio No	Amount	Start Date	Number of Investments	Request Reference No. (for Bank Use Only)
Scheme	opaion 210,217,672	70110110	7	3441 3443	(only for defined Period)	nequest hererence no. (for bank ose omy)
*DR - Dividend Reinvestment, DP - Dividend Payout, G - Growth, B - Bonus,  • I/We confirm that I/We have read and understood the terms and conditions of the offer documents of the scheme • I/We have been disclosed all the commissions (in the form of the trail commission or any other mode), payable to the bank for the different competing Schemes of various Mutual Funds from amongst which the Scheme/s is being chosen by me/us. • I/We have understood that purchase and purchase type transactions in equity Mutual Funds and debt schemes (excluding Liquid schemes, Short Term Plan, Fixed Maturity Plan) are liable to charge as per the tariff structure of the Bank, plus applicable service tax and education cess. • I/We understand and agree that FATCA/KYC details needs to be updated with the Bank prior to execution of the transaction of the transaction of the transaction of the transaction.						
Signature(s)						
Applicant 1			Applicant 2			Applicant 3
Date:						
Notes & conditions  1. Folio Number is required to be mentioned only for existing online folios. 2. The application form should be completed in all respect and signed by all the applicants. 3. Investment would be done from the investment account selected & form would be required to be signed as per the mode of operation of the investment account selected for setting up the Systematic Investment Plan. 4. The Systematic Investment Plan will be effective subject to the account being valid and in good standing. 5. The start date of the SIP should be a minimum of 7 working days from the date of submitting this form. 6. For Cancellation of SIP the request should be submitted at least 7 working days in advance from the next execution date. 7. Re-instatement of the Systematic Transfer Plan, once revoked by account holder(s) is not possible unless a fresh Systematic Investment Plan form is given by the account holder(s). 8. Account holder(s) are required to ensure maintenance of sufficient funds in their Bank Account selected for the execution of the Systematic Investment Plan by the bank towards periodic investment on their behalf. 9. Notwithstanding what is mentioned herein above, it is understood that Kotak Mahindra Bank is extending such facilities to make it convenient for and facilitate the customer to make periodic investments in the mutual fund schemes opted for and it is further acknowledged that the onus to make such payments on the due dates vests solely and absolutely with customer without any liability on part of the bank. 10. Please refer to the Key information Memorandum and Scheme Offer Document of the respective scheme for Applicable NAV, Risk Factors, Load, SIP dates, minimum amount for STP etc. of the Scheme / Plan before investing. 11. Scheme details such as Scheme, plan, option should be correctly mentioned on application Forms. Any correction made on the SIP						
form should be signed by the investor, otherwise the same will be rejected. 12. Mutual Fund investments are subject to market risks, read the Scheme Information Document and Statement of Additional Information carefully before investing.						
For Bank Use Only						
Signature Verified by		Entered by		Authorised by		
Lead Converter TPP approval/Declaration confirmation						
Sub broker EUIN	Since TPP approval or declaration is required for all purchases a confirmation of the same in the bank use portion should be there  Sub broker EUIN 1.					1/4



## FATCA / CRS DECLARATION FOR INDIVIDUAL ACCOUNTS (Including Sole Proprietor)

Note – The information in this section is being collected because of enhancements to Kotak Mahindra Bank's new account on-boarding procedures in order to comply with Foreign Account Tax Compliance Act (FATCA) requirements pursuant to amendments made to Income-tax Act, 1961 read with Income-tax Rules, 1962.

	re information refer: www.incometaxindia.gov.in/dtaa/other%20agreement	s/india_iga_finalindia_english.pdf/http://w	ww.oecd.org/ctp/exchang	ge-of-tax-information/automatic-e	xchange-financial-account-information	n-common-reporting-standard.pdf
(We are	e unable to provide advice about your tax residency. If yo	u have any questions about your tax residency	, please contact your tax ac	dvisor)		
	ce / Bank use only Y ID / SR Number :					
Sec	tion I		Part A (All field	s are mandatory)		
				Details of Account Holder		
1.	Customer Relationship Number (CRN) [if any]					
2.	Name of Account Holder					
3.	Address for Tax Residence (include City, State, Country and Pin code)					
4.	Address Type (Tick whichever applicable)			(a) Residential	(b) Business	(c) Registered Office
5.	5. Do you satisfy any of the criteria mentioned below?			Yes	No	
	a. Citizen of any country other than India (dual / multiple) [including Greencard]					
	b. Country of birth is any country other than India					
	c. Tax resident of ANY country / ies other than India					
	d. POA or a mandate holder who has an address outside India					
	e. Address or telephone number outside India					
If your a	answer to any of the above questions is a 'YES', please fill	Section II of the form, else go to declaration &	acknowledgment			
Section	n II - Other information (Please fill in BLOCK LETTE	ERS)				
Father's	s name(If PAN not available	e, then mandatory)				
Country	Country of Birth <sup>*</sup> Place within the Country of Birth					
*(In cas	e Country of Birth is USA , however Nationality and Cour	ntry of Tax Residency is other than USA , please	e provide documentary evid	dence as mentioned in Instruction 1	)	
Source	of WealthNationali	ity	-			
Please l	ist below the details, confirming ALL countries of tax resid	dency/ permanent residency/ citizenship and A	ALL Tax Identification Numb	pers		
	Country of Tax residency	Tax identification no <sup>s</sup>		Tax ident	ification document (TIN or function	al equivalent)
<sup>s</sup> It is ma	andatory to supply a TIN or functional equivalent (in ca	se TIN not available )if the country in which y	you are tax resident issues	such identifiers. If no TIN /functio	onal equivalent is yet available or has no	ot yet been issued, please provide an explanation below:

Declaration & Acknowledgement			I being the beneficial owner of the account opened / to be opened with Kotak Mahindra Bank Limited and the income credited therein, declare that the above information and information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed.				
			I acknowledge that towards compliance with tax information sharing laws, such as FATCA/CRS, the Bank may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if the Bank does not receive a valid self-certification from me) the Bank may be obliged to share information on my account with relevant tax authorities. Should there be any <b>change in any information provided by me I ensure that I will intimate the Bank</b> promptly, <b>i.e., within 30 days.</b>				
			Towards compliance with such laws, the Bank 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. As may be required by domestic or overseas regulators/ tax authorities, the Bank may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s).				
			I also understand that the account will be reported if any one of the aforesaid FATCA / CRS criteria for any of the account holders i.e. primary or joint are met.				
Customer Signature							
Date							
Bank Use Section:							
Signature Verified by	Sign & Emp Code	Receiver's Sta	amp				

Documents sent to CPC/RPC on

## Instructions to the Form

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:

Sr no	FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
1	U.S. place of birth (Nationality and Country of Tax Residency is other than USA)	<ol> <li>Self-certification(FATCA Declaration) that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND</li> <li>Any one of the following documents:         <ul> <li>Certified Copy of "Certificate of Loss of Nationality or</li> <li>Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or</li> <li>Reason the customer did not obtain U.S. citizenship at birth</li> </ul> </li> </ol>
2	Residence/mailing address in a country other than India <b>or</b> Telephone number in a country other than India	<ol> <li>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</li> <li>Documentary evidence (refer list below)</li> </ol>
3	Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<ol> <li>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</li> <li>Documentary evidence (refer list below)</li> </ol>
4	POA granted to a person with an address in a country outside India	<ol> <li>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;         <b>OR</b></li> <li>Documentary evidence (refer list below)</li> </ol>

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.)

<sup>\*</sup> Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.