

## M F Purchase Plus Systematic Transfer Plan Form

Customer Relationship Number

Customer / Applicant's Name

Investment Account Number

EUIN  Sub broker

"I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "exectuion-only" transaction without any interaction or advice by the employee/relationship manager/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) \_\_\_\_\_ Applicant 1 \_\_\_\_\_ Applicant 2 \_\_\_\_\_ Applicant 3 \_\_\_\_\_

Date: \_\_\_\_\_

To,  
Kotak Mahindra Bank

### For Purchase

Setting up a Systematic Investment Plan\* (STP)

I/We ..... hereby authorize Kotak Mahindra Bank Ltd. to debit my/our Kotak Mahindra Bank account as given below, towards Systematic Investment Plan into mutual fund schemes as listed in the table below:

Cancelling a Systematic Investment Plan\*

I/We ..... authorize the Kotak Mahindra Bank Ltd. to cancel the Systematic Investment Plan that have been set up for the purpose of investment in the mutual fund schemes as listed in the table below:

\*Tick anyone of the above

**Details of Transfer:** Frequency:  Monthly  Quarterly

Amount	Start Date	No. of Transfers	From			To			Request Ref. No.
			Scheme	Option DR/DP/G/B*	Folio No.	Scheme Name	Option DR/DP/G/B*	Folio No. #	

\*DR - Dividend Reinvestment, DP - Dividend Payout, G - Growth, B - Bonus. \*\*P - Purchase, R - Redemption, C - Cenellation. # To be filled only in case you want to systematically transfer to an existing online folio in any Franklin Templeton Schemes.

I/We have read and understood the Terms and Conditions related to the investments in Mutual Funds through Kotak Mahindra Bank Ltd and the offer documents(s) of the Scheme(s) in respect of which the transactions are proposed to be made. I/We have been informed of all the commissions (in the form of trail commission or any other mode), payable to the Bank for the different competing Schemes of various Mutual Funds from amongst which the above Scheme/s is being recommended to me/us.

I/We have understand that purchase and purchase type transactions in equity Mutual Funds are liable to charges 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, failing which the transaction is subject to rejection by the respective Fund House. I/We understand and agree that the Bank shall not be liable or responsible for rejection of the transaction or any consequences arising out of rejection of the transaction.

Signature(s) \_\_\_\_\_ Applicant 1 \_\_\_\_\_ Applicant 2 \_\_\_\_\_ Applicant 3 \_\_\_\_\_

Date: \_\_\_\_\_

### Please note:

- Folio Number is required to be mentioned only for existing online folios.
- The application form should be completed in all respect and signed by all the applicants.
- Transfer 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 Transfer Plan.
- The start date of the STP should be a minimum of 7 working days from the date of submitting this form. The Systematic Transfer Plan will continue to remain in effect for the terms defined above till the same is cancelled in writing by the Account Holder(s) as per the bank norms.
- For Cancellation of STP the request should be submitted at least 7 working days in advance from the next execution date.
- Re-instatement of the Systematic Transfer Plan, once revoked by account holder(s) is not possible unless a fresh Systematic Transfer Plan form is given by the account holder(s).
- 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.
- Please refer to the Key information Memorandum and Scheme Offer Document of the respective scheme for Applicable NAV, Risk Factors, Load, STP dates, minimum amount for STP etc. of the Scheme / Plan before investing.
- Scheme details such as Scheme, plan, option should be correctly mentioned on application Forms. Any correction made on the STP form should be signed by the investor, otherwise the same will be rejected.
- Incase of cancellations start date and number of transfers need not be mentioned.

### For Bank Use Only

Signature Verified by \_\_\_\_\_ Entered by \_\_\_\_\_ Authorised by \_\_\_\_\_ Lead Converter \_\_\_\_\_

FATCA declaration for Individuals/Non- Individuals  Collected  Already updated

**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.

For more information refer:

[http://www.incometaxindia.gov.in/dtaa/other%20agreements/india\\_iga\\_final-india\\_english.pdf](http://www.incometaxindia.gov.in/dtaa/other%20agreements/india_iga_final-india_english.pdf)

<http://www.oecd.org/ctp/exchange-of-tax-information/automatic-exchange-financial-account-information-common-reporting-standard.pdf>

(We are unable to provide advice about your tax residency. If you have any questions about your tax residency, please contact your tax advisor)

Office / Bank use only OPTY ID / SR Number : _____
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**Part A (All fields are mandatory)**
**Section I**

		Details of Account Holder
<b>1.</b>	<b>Customer Relationship Number (CRN) [if any]</b>	
<b>2.</b>	<b>Name of Account Holder</b>	
<b>3.</b>	<b>Address for Tax Residence (include City, State, Country and Pin code)</b>	
<b>4.</b>	<b>Address Type (Tick whichever applicable)</b>	(a) Residential <input type="checkbox"/> (b) Business <input type="checkbox"/> (c) Registered Office <input type="checkbox"/>
<b>5.</b>	<b>Do you satisfy any of the criteria mentioned below?</b>	Yes                      No
	a. Citizen of any country other than India (dual / multiple) [including Greencard]	<input type="checkbox"/> <input type="checkbox"/>
	b. Country of birth is any country other than India	<input type="checkbox"/> <input type="checkbox"/>
	c. Tax resident of ANY country / ies other than India	<input type="checkbox"/> <input type="checkbox"/>
	d. POA or a mandate holder who has an address outside India	<input type="checkbox"/> <input type="checkbox"/>
	e. Address or telephone number outside India	<input type="checkbox"/> <input type="checkbox"/>

If your answer to any of the above questions is a 'YES', please fill Section II of the form, else go to declaration & acknowledgment

**Section II - Other information (Please fill in BLOCK LETTERS)**

Father's name \_\_\_\_\_ (If PAN not available, then mandatory)

Country of Birth\* \_\_\_\_\_ Place within the Country of Birth \_\_\_\_\_

\*(In case Country of Birth is USA, however Nationality and Country of Tax Residency is other than USA, please provide documentary evidence as mentioned in Instruction 1)

Source of Wealth \_\_\_\_\_ Nationality \_\_\_\_\_

Please list below the details, confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers

Country of Tax residency	Tax identification no <sup>5</sup>	Tax identification document (TIN or functional equivalent)

<sup>5</sup>It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN / functional equivalent is yet available or has not 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 **change in any information provided by me I ensure that I will intimate the Bank promptly, i.e., within 30 days.**

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 Stamp

Documents sent to CPC/RPC on

DDMMYYYY

## 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)	1. Self-certification(FATCA Declaration) 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 <b>evidencing nationality or citizenship</b> (refer list below); <b>AND</b> 3. Any one of the following documents: - Certified Copy of "Certificate of Loss of Nationality <b>or</b> - Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; <b>or</b> - Reason the customer did not obtain U.S. citizenship at birth
2	Residence/mailling address in a country other than India  <b>or</b> Telephone number 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; <b>and</b> 2. Documentary evidence (refer list below)
3	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; <b>and</b> 2. Documentary evidence (refer list below)
4	POA granted to a person with an address in a country outside India	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; <b>OR</b> 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.**