

## MUTUAL FUND TRANSACTION REQUEST FORM

I/We \_\_\_\_\_ hereby authorize Kotak Mahindra Bank Ltd. to switch on my/our behalf units in the mutual funds schemes as listed in the table below.

CRN No.  Investment Account Number  Bank Account Number   Now  Later

"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/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

**For Bank Use :**

Scheme Name	Option DR/DP/G/B*	Amount (Rs) / Units	Folio Number	Transaction Type R/P/C**	Trade Date	Request reference No. (For Bank Use Only)

\*DR - Dividend Reinvestment, DP - Dividend Payout, G - Growth, B - Bonus, \*\*P - Purchase, R - Redemption, C - Cancellation.  
 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 disclosed 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 chosen by me/us. • I/We have understand 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 charges as per the tariff structure of the Bank, plus applicable service tax and education cess. • If later date is chosen then trade date is mandatory else not required. • Cancellation of request can be done till cut off time for purchase, redemption, switches and till one calendar day prior to execution for scheduled later transactions. • 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: \_\_\_\_\_

**Note & Instructions:**

- Investment will be made in the holding pattern of the investment account selected & the form is required to be signed as per the mode of operation of the Investment Account selected.
- The transaction will be effective subject to the account being valid and in good standing.
- Account holder(s) are required to ensure maintenance of sufficient funds in the Bank Account selected for execution of the transaction by the bank on their behalf.
- 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 transactions in mutual fund schemes opted for and it is further acknowledged that the onus to make such payments vests solely and absolutely with the customer(s) without any liability on part of the bank.
- Mutual Fund investments are subject to market risks, read the Scheme Information Document and Statement of Additional Information carefully before investing.

**Bank Use Only**

Signature Verification \_\_\_\_\_ Entered By \_\_\_\_\_ Authorized by \_\_\_\_\_  
 Lead Converter \_\_\_\_\_ TPP approval/Declaration confirmation \_\_\_\_\_  
 FATCA declaration for Individuals/Non- Individuals  Collected  Already updated  
 Sub broker  EUIN

## 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	
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 <input type="checkbox"/>	(b) Business <input type="checkbox"/> (c) Registered Office <input type="checkbox"/>
5.	Do you satisfy any of the criteria mentioned below?	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>s</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:

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<p><b>Declaration &amp; Acknowledgement</b></p>	<p>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.</p> <p>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 promptly, i.e., within 30 days.</b></p> <p>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).</p> <p>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.</p>
<p>Customer Signature</p>	
<p>Date</p>	

**Bank Use Section:**

Signature Verified by

Sign & Emp Code

Receiver's Stamp

Documents sent to CPC/RPC on

D	D	M	M	Y	Y	Y	Y
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**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/ mailing 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.**