

Supplementary Know Your Client (KYC) Form

The Application Form should be completed in English and in BLOCK LETTERS only.

TATA
mutual fund

Annexure to Application Form

Date : D D / M M / Y Y

1. UNITHOLDER INFORMATION

a. Name of First / Sole applicant ☐ Mr. ☐ Ms. ☐ M/s.

b. PAN / PEKRN

2. FIRST/ SOLE APPLICANT OTHER DETAILS (Mandatory) (Refer instruction 1)

☐ **Individual** ☐ **Non - Individual**
Is the company a Listed Company or Subsidiary of Listed Company or or Controlled by a Listed Company: (if No, please attach mandatory UBO declaration): ☐ Yes ☐ No

a. Status of First/ Sole Applicant [Please tick (✓)]

☐ Resident Indian ☐ NRI ☐ PIO ☐ HUF ☐ Minor RI ☐ Minor NRI ☐ Trust ☐ Proprietorship ☐ LLP ☐ Partnership ☐ Public Ltd. Co. ☐ Pvt. Ltd. Co. ☐ Non Profit Organisation
☐ Societies ☐ FOF ☐ Body Corporate ☐ Others (please specify).....

b. Occupation Details [Please tick (✓)]

☐ Private Sector Service ☐ Public Sector Service ☐ Business ☐ Retired ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student
☐ Others (please specify).....

c. Gross Annual Income (Rs.) [Please tick (✓)]

☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore **OR**

Networth in (Mandatory for Non-individual) ₹ as on D D / M M / Y Y
(not older than 1 year)

d. Politically Exposed Person (PEP) Status:

(Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors): ☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

e. For Non-Individual Investors involved/providing any of the mentioned services:

☐ Foreign Exchange/Money Changer Services ☐ Gaming / Gambling / Lottery / Casino Services ☐ Money Lending / Pawning ☐ None of the above

3. DETAILS OF SECOND APPLICANT, IF ANY (Refer Instruction 1)

a. Name of Second applicant ☐ Mr. ☐ Ms. ☐ M/s.

b. PAN / PEKRN

c. Occupation Details [Please tick (✓)]

☐ Private Sector Service ☐ Public Sector Service ☐ Business ☐ Retired ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student
☐ Others (please specify).....

d. Gross Annual Income (Rs.) [Please tick (✓)]

☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore **OR**

Networth in (Mandatory for Non-individual) ₹ as on D D / M M / Y Y
(not older than 1 year)

e. Politically Exposed Person (PEP) Status : ☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

4. DETAILS OF THIRD APPLICANT, IF ANY (Refer Instruction 1)

a. Name of Third applicant ☐ Mr. ☐ Ms. ☐ M/s.

b. PAN / PEKRN

c. Occupation Details [Please tick (✓)]

☐ Private Sector Service ☐ Public Sector Service ☐ Business ☐ Retired ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student
☐ Others (please specify).....

d. Gross Annual Income (Rs.) [Please tick (✓)]

☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore **OR**

Networth in (Mandatory for Non-individual) ₹ as on D D / M M / Y Y
(not older than 1 year)

e. Politically Exposed Person (PEP) Status : ☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

5. DECLARATION

I/We declare that the information is to the best of my/our knowledge and belief, and is accurate and complete. I/We agree to notify Tata Mutual Fund/ Tata Asset Management Private Limited immediately in the event of any change in the information. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be held liable for it.

1st Unitholder Signature / Thumb Impression

2nd Unitholder Signature / Thumb Impression

3rd Unitholder Signature / Thumb Impression

1. **In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details** viz. Occupation details, Gross Annual Income/networth and Politically Exposed Person (PEP)* status mentioned under section 2 & 3 which was forming part of uniform KYC form will now be captured in the application form of the Fund. Also, the detail of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc., (applicable for first/sole applicant) is required to be provided as part of Client Due Diligence (CDD) Process of the Fund.

The said details are mandatory for both Individual and Non Individual applicants.

*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.

2. **Ultimate Beneficial Owners(s)**

Pursuant to SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 on Anti Money Laundering Standards and Guidelines on identification of Beneficial Ownership issued by SEBI vide its Circular No. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of '**Ultimate Beneficial Owner(s) (UBO(s))**'. In case the investor or owner of the controlling interest is a company listed on a stock exchange or is a majority owned subsidiary of such a company, the details of shareholders or beneficial owners are not required to be provided.

Non-individual applicants/investors are mandated to provide the details on '**Ultimate Beneficial Owner(s) (UBO(s))**' by filling up the declaration form for '**Ultimate Beneficial Ownership**' available on our website www.tatamutualfund.com

Call: (022) 6282 7777 (Monday to Saturday 9:00 am to 5:30 pm) • SMS: TMF To 57575 • E-mail: enq_T@camsonline.com