

INVESTMENT ACCOUNT OPENING FORM

UNIQUE CLIENT ID: _____

PAN NO: _____

Prudent Corporate Advisory Services Ltd. (PCAS)
ARN CODE : 9992

APPLICANT DETAILS

Name of Applicant _____ Date of Birth _____ Account Type _____

Maiden Name (If any) _____ Mother Name _____

Nationality _____ Tax Status _____

Occupation Details (Please tick ☐) ☐ Service ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Student ☐ Professional ☐ Housewife
☐ Business ☐ Retired ☐ Agriculture ☐ Proprietorship ☐ Other _____ (Please Specify)Gross Annual Income (Please tick ☐) ☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs - 1 Crore ☐ >1 CrorePolitically Exposed Person Status ☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

Any Other Information _____

PERMANENT ADDRESS / OVERSEAS ADDRESS (IN CASE OF NRI)

Address _____

City _____ State _____

Country _____ Pincode _____

CONTACT DETAILS OF APPLICANT

Mobile no. _____ Office Landline No: _____

Email _____ Residence Landline No: _____

BANK ACCOUNT DETAILS OF APPLICANT

Account No. _____ Type of account : ☐ Savings ☐ Current ☐ NRE ☐ NRO

Bank Name _____

Branch Address _____

City _____ Pin Code _____

MICR Code _____ (This is a 9 digit number next to your cheque number)

IFSC Code _____

Mode of Holding in Bank Account ☐ Single ☐ Anyone or Survivor ☐ Anyone or Survivor

NOMINATION

Name of 1st Holder _____

Name of 2nd Holder _____

Name of 3rd Holder _____

I/We, the above-named Unitholders of respective Mutual Fund, do hereby nominate the person(s) more particularly described hereunder to receive the Units held my/our Folio/s listed below in the event of my / our death:

Name of the 1 st Nominee*		% of Allocation*	
PAN of the Nominee [§]		Date of Birth of Nominee* DD / MM / YYYY	
Nominee Relationship*			
Name of the Guardian**		PAN of Nominee Guardian [§]	
Guardian's Relationship with Nominee** <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian			
Proof of relationship [§] <input type="checkbox"/> Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others			
Address [§]			
City	State	Pin Code	
Nominee Signature [§]			

Name of the 2 nd Nominee*		% of Allocation*	
PAN of the Nominee [§]		Date of Birth of Nominee* DD / MM / YYYY	
Nominee Relationship*			
Name of the Guardian**		PAN of Nominee Guardian [§]	
Guardian's Relationship with Nominee** <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian			
Proof of relationship [§] <input type="checkbox"/> Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others			
Address [§]			
City	State	Pin Code	
Nominee Signature [§]			




Name of the 3 rd Nominee*		% of Allocation*	
PAN of the Nominee [§]		Date of Birth of Nominee* DD / MM / YYYY	
Nominee Relationship*			
Name of the Guardian**		PAN of Nominee Guardian [§]	
Guardian's Relationship with Nominee** <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian			
Proof of relationship [§] <input type="checkbox"/> Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others			
Address [§]			
City	State	Pin Code	
Nominee Signature [§]			

* Mandatory § Optional **Mandatory & Applicable in case the Nominee is a Minor

☐ **Opt-Out Declaration:**

I / We hereby confirm that I / We do not wish to appoint any nominee(s) for my mutual fund units held in my / our mutual fund folio and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents issued by Court or other such competent authority, based on the value of assets held in the mutual fund folio.

Note: Your nomination status as provided hereinabove will be captured in all new folios created with AMC/RTA through online portal of Prudent until you submit fresh request for modification or cancellation of Nomination.

Signature of the 1 st unitholder	Signature of the 2 nd unitholder	Signature of the 3 rd unitholder
		

DECLARATION

I/We hereby grant permission to Prudent to capture/verify the bank details printed on cancelled cheque/bank statement which belongs to

This information may be used to open my/our Investment Account with Prudent.

I/We hereby allow Prudent to utilize the bank information by sending it to Mutual Funds Companies and for the purpose of generating NACH Mandate. I/We acknowledge that I/We have been provided a copy of the terms and conditions ("Terms and Conditions") which are applicable to operate the investment account and that I/We have read and understood the Terms and Conditions and that a copy of the Terms and Conditions is in my/our possession and is available on the Fundzbazar website. I/We agree to abide by the same.

I/We understand and agree that, pursuant to the Terms and Conditions, I/We have granted certain powers to Prudent to perform a number of actions on my/our behalf, including but not limited to:

- i. Authority to Prudent to execute my/our instructions for purchase and redemption of units of mutual funds, as per the Terms and Conditions of Prudent.
- ii. Authority to subscribe to units of mutual funds or other securities on my behalf, to receive the account statement pertaining to the above units/securities; to redeem the units/securities held by me/us; to sign all such writings and do all such acts as may be required for redeeming any units/securities; to instruct the mutual fund and/or the corresponding assets management company to make note of instructions with regards to nomination/ changes in investments plan, as per the Terms and Conditions of Prudent.
- iii. Authority to do or omit to do all such acts and things as Prudent may in its discretion consider to be necessary or desirable in order to perform its duties hereunder or to comply with any laws, orders, rules, regulations or directions of any Government or regulatory or other authorities;

I/We declare that the particulars given above are true to the best of my/our knowledge as on the date of making such applications. I/We undertake to inform, in writing, of any change in the particulars furnished above. I/We hereby declare that the details as appearing in KRA records and other details furnished to Prudent are true and correct to the best of my/our knowledge and I/We undertake to inform you of any changes there in, immediately.

I/We further agree that any false/misleading information given by me/us or suppression of any material fact will render my/our account liable of termination. I/We declare that all the details in my/our relationship record are true and correct and any instruction arising out of any transaction entered in to pursuant to these Terms and Conditions would be as per the provisions of the Income Tax Act, 1961 or any modifications or re-enactment thereof,

I/We agree and declare that any or all tax liability will be my/our sole responsibility. I/We shall execute and deliver to Prudent, from time to time such other documents as may be specified by Prudent for the compliance or updating of records if any.

I/We have read and understood the Terms and Conditions applicable to the account and to the usage of the Fundzbazar Website and agree to be bound by the said Terms and Conditions applicable to Prudent account including those excluding/limiting Prudent liability.

I/We undertake to make the applicants to the investments aware of the provisions of the Terms and Conditions and the same will be binding on the applicants by use of the facility provided herein. I/We will be jointly and severally bound by the Terms and Conditions of Prudent account.

Date

Place

SIGNATURE OF APPLICANT



FATCA & CRS Annexure for Individual Accounts (Refer to instructions)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

Name _____

Gender _____ **PAN** _____ **Occupation Type** _____

Father/Spouse Name _____

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes

Type of address given at KRA ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office

Permissible documents are ☐ Passport ☐ Election ID Card ☐ PAN Card ☐ Govt. ID Card ☐ Driving License ☐ UIDAI Card ☐ NREGA Job Card ☐ Others

Date of Birth _____ **Place of Birth** _____ **Country of Birth** _____ **Nationality** _____

Are you a tax resident of any country other than India? ☐ Yes ☐ No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country#	Tax Identification Number%	Identification Type (TIN or Other, please specify)

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 equivalent \$

Certification

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.



Signature

Date

Place

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: 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.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA & CRS Instructions

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.

\$ 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.

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:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> 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: Certified Copy of "Certificate of Loss of Nationality\or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/mailling address in a country other than India	<ol style="list-style-type: none"> 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	<p>If no Indian telephone number is provided</p> <ol style="list-style-type: none"> 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) <p>If Indian telephone number is provided along with a foreign country telephone number</p> <ol style="list-style-type: none"> 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)
Telephone number in a country other than India	<ol style="list-style-type: none"> 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.

Prudent
— Money through wisdom —
Debit Mandate Form NACH / ECS / DIRECT DEBIT

UMRN <input type="text"/>		Date <input type="text"/>	
Sponsor Bank Code <input type="text"/>		Utility Code <input type="text"/>	
I/We hereby authorize <input type="text"/>		to debit <input checked="" type="checkbox"/> SB / CA/ CC / SBNRE / SBNRO / Other	
Bank a/c number <input type="text"/>			
With Bank <input type="text"/>		IFSC <input type="text"/>	or MICR <input type="text"/>
an Amount of Rupees <input type="text"/>		₹ <input type="text"/>	
FREQUENCY	<input type="checkbox"/> Monthly <input type="checkbox"/> Qtly <input type="checkbox"/> H-Yearly <input type="checkbox"/> Yrly <input type="checkbox"/> As & When Presented	DEBIT TYPE	<input type="checkbox"/> Fixed Amount <input type="checkbox"/> Maximum Amount
Reference1	<input type="text"/>	Phone No.	<input type="text"/>
Reference2	<input type="text"/>	Email ID	<input type="text"/>

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD From <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> TO <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> OR <input type="checkbox"/> Until Canceled	_____ Signature of Account Holder	_____ Signature of Account Holder	_____ Signature of Account Holder
	1. _____ Name as in Bank Records	2. _____ Name as in Bank Records	3. _____ Name as in Bank Records

- 1) This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the User entity/ Corporate to debit my account. Based on the instruction as agreed and signed by me.
- 2) I have understood that I am authorized to cancel / amend this mandate by appropriately communicating the cancellation/amendment request to the User entity/corporate or the bank where I have authorized the debit.

- Prudent Corporate Advisory Services Limited (Prudent) will use the automatic debit mandate (NACH/ECS/Direct Debit mandate) provided by the investor to make debits from the investor's bank account towards making investments selected and instructed by the investor through electronic or other means. Prudent hereby declares and assures the investors("Client") that the funds obtained thereof, will not be used for any other purpose other than what the investor intended the mandate for, by way of clear and explicit investment instruction and authorization through electronic or other means.
- The mandate should be printed on an A4 size paper only.


THIS FORM IS IMPORTANT!

This one-time bank mandate form will complete your paperwork and allow you to setup any number of SIPs with your FundzBazar account.

We will use this mandate to debit your bank account **ONLY** when you instruct us to do so.
 Also, the amount of the debit will be **EXACTLY** as per your instruction.
 This is a one-time process with your mandate being valid for life.

Your one-time mandate will be registered with your bank within 14 days.
 However, you can start setting up your SIPs right now.
 Your investments will begin as soon as the registration is complete.