

# COMMON APPLICATION FORM - Retail Schemes<sup>^</sup>

**Peerless**  
MUTUAL FUND



Experience Stability

Explore Growth

**ASSET MANAGEMENT COMPANY**  
Peerless Funds Management Co. Ltd.  
Peerless Mansion, 1 Chowringhee Square,  
Third Floor, Kolkata - 700 069, India.

**TRUSTEES**  
Peerless Trust Management Co. Ltd.  
Peerless Mansion, 1 Chowringhee Square,  
Third Floor, Kolkata - 700 069, India.

<sup>^</sup> Peerless Equity Fund, Peerless Midcap Fund, Peerless Flexible Income Fund, Peerless Income Plus Fund, Peerless 3 In 1 Fund

## PRODUCT LABELLING

NAME OF THE SCHEME	THESE PRODUCTS ARE SUITABLE FOR INVESTORS WHO ARE SEEKING*	RISKOMETER
<b>Peerless Equity Fund</b> (An Open Ended Equity Scheme)	<ul style="list-style-type: none"> <li>Capital appreciation over long term.</li> <li>Investment in Equity &amp; equity related securities of midcap companies</li> </ul>	<p>LOW HIGH</p> <p>Investors understand that their principal will be at moderately high risk</p>
<b>Peerless Midcap Fund</b> (An Open Ended Equity Scheme)	<ul style="list-style-type: none"> <li>Capital appreciation over medium to long term</li> <li>Investment in Equity &amp; equity related securities of midcap companies</li> </ul>	<p>LOW HIGH</p> <p>Investors understand that their principal will be at moderately high risk</p>
<b>Peerless Flexible Income Fund</b> (An Open Ended Debt Scheme)	<ul style="list-style-type: none"> <li>Income over medium to long term.</li> <li>Investment in debt instruments including bonds, debentures and government securities and money market instruments over various maturity periods.</li> </ul>	<p>LOW HIGH</p> <p>Investors understand that their principal will be at moderate risk</p>
<b>Peerless Income Plus Fund</b> (An Open Ended Debt Scheme)	<ul style="list-style-type: none"> <li>Income over medium to long term.</li> <li>Investment in high quality fixed income securities and with a marginal exposure to equity and equity related instruments.</li> </ul>	<p>LOW HIGH</p> <p>Investors understand that their principal will be at moderate risk</p>
<b>Peerless 3 In 1 Fund</b> (An Open Ended Hybrid Scheme)	<ul style="list-style-type: none"> <li>Capital appreciation over long term.</li> <li>Investment in of fixed income securities, equity &amp; equity related Instruments and Gold Exchange Traded Funds.</li> </ul>	<p>LOW HIGH</p> <p>Investors understand that their principal will be at moderate risk</p>

\*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.

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## COMMON APPLICATION FORM

Peerless  
MUTUAL FUNDPlease refer to the instructions while filling the Application Form. Tick ☒ whichever is applicable.

1	ARN CODE ARN-9992	Employee Unique Identification Number (EUIIN)*	SUB-BROKER CODE / AGENT CODE	DATE & TIME OF RECEIPT FOR OFFICE USE ONLY
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\*I/We hereby confirm that the EUIIN 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 and the distributor has not charged any advisory fees on this transaction".

Sole /1st Applicant/Guardian/Authorised Signatory/POA Holder	2nd Applicant/Authorised Signatory/POA Holder	3rd Applicant/Authorised Signatory/POA Holder
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2 **TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS/AGENTS ONLY (Please tick any one of the below)**

☐ I confirm that I am a First Time Investor in Mutual Funds (Rs. 150/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more) OR ☐ I confirm that I am an Existing Investor in Mutual Funds (Rs. 100/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more)

In case the purchase/subscription amount is Rs. 10,000/- or more and your AMFI Registered Distributor has chosen 'opt in' option of charging Transaction Charges to their investor, the same are deductible as applicable from the purchase/subscription amount and payable to the distributor, Units will be issued against the balance amount invested. (refer General Information Point No. 11)

3 **EXISTING INVESTOR INFORMATION (If you have existing folio please fill in sections 3,6,9,11,12 and 17)**

Unit Holding Options ☐ Demat Mode ☐ Physical Mode Folio Number

4 **DEMAT ACCOUNT DETAILS** (Please ensure that the sequence of names as mentioned in the application form matches with that, of the account held in depository participant. Demat Account details are compulsory, if demat mode is opted above.)

☐ NSDL Depository Participant Name Enclosures  
☐ CDSL DP ID Number ☐ Client Master List ☐ Delivery Instruction Slip  
 Beneficiary Account Number ☐ Transaction Cum Holding Statement

5 **NEW INVESTOR INFORMATION (To be filled in Block Letters, please leave one box blank between two words)**

NAME OF FIRST/SOLE APPLICANT ☐ Mr. ☐ Ms. ☐ M/s.

PAN/PERN # KYC Proof # Date of Birth/Date of Incorporation D D M M Y Y

Father's Name/Name of Guardian (in case of Minor) / Contact Person (in case of non individual applicant) ☐ Mr. ☐ Ms.

PAN/PERN # KYC Proof # Relationship with Minor/Designation MANDATORY

Mailing Address of First/Sole Applicant (PO Box address is not sufficient)

City State Country Pin Code

Overseas Address (Mandatory in case of NRI/FII. PO Box address is not sufficient. Investors residing overseas and with PO Box address please provide your Indian address)  
 "All Non Individual Investors have to mandatorily fill UBO Declaration form"

Overseas Address Country

6 **FIRST/SOLE APPLICANT OTHER DETAILS**

Telephone Mobile

Email Mode of Holding ☐ Single ☐ Joint ☐ Anyone or Survivor (s) (Default option in case of more than one Applicant)

Occupation (of first/sole Applicant) ☐ Business ☐ Professional ☐ House Wife ☐ Agriculture ☐ Service ☐ Student ☐ Retired ☐ Others

Status (of first/sole Applicant) ☐ Resident Individual ☐ Sole Proprietorship ☐ Society/Club Company ☐ NRI ☐ Repatriable ☐ Trust ☐ HUF  
☐ Partnership Firm ☐ On Behalf of Minor ☐ Bank/Financial Institution ☐ NRI ☐ Non-Repatriable (NRO) ☐ Others

Gross Annual Income ☐ Below 1 Lac ☐ 5 - 10 Lacs ☐ >25 Lacs - 1 Crore Net-worth (Mandatory for Non-Individuals) Rs. as on (Not older than 1 year) D D M M Y Y  
☐ 1 - 5 Lacs ☐ 10 - 25 Lacs ☐ >1 Crore

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

Non - Individual Investors involved/ providing any of the mentioned services ☐ Foreign Exchange / Money Changer Services ☐ Money Lending / Pawning  
☐ Gaming / Gambling / Lottery / Casino Services ☐ None of the Above

# Please attach proof. Refer instructions page point XII - PAN/PERN and KYC

**Acknowledgement Slip (To be filled in by the investor)**Peerless  
MUTUAL FUND

Received from Mr./Ms./M/s.	Collection Centre's Stamp & Receipt Date and Time
An application for Scheme: Plan: Option:	
Cheque/DD No. : Dated : Amount (Rs.)	
Drawn on Bank and Branch :	
Please note : All Purchases are subject to realisation of Cheques/DD.	

Web site [www.peerlessmf.co.in](http://www.peerlessmf.co.in)Toll Free : 1800 103 8999  
Non Toll Free : 022 61779922[connect@peerlessmf.co.in](mailto:connect@peerlessmf.co.in)Communication in connection with this application should be addressed to the Registrar,  
Karvy Computershare Pvt. Ltd. KARVY SELENIUM, Plot number 31 & 32, Tower B, Survey No. 115/22, 115/24 & 115/25, Financial District, Gachibowli, Nanakramguda, Serlingampally Mandal Hyderabad - 500032 Telangana

## 7 JOINT APPLICANT DETAILS

a NAME OF SECOND APPLICANT ☐ Mr. ☐ Ms.

PAN/PERN #

☐ KYC Proof #

Date of Birth/Date of Incorporation

D D M M Y Y

Gross Annual Income

☐ Below 1 Lac☐ 5 - 10 Lacs☐ >25 Lacs - 1 Crore☐ 1 - 5 Lacs☐ 10 - 25 Lacs☐ >1 Crore

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

Father's Name

Occupation

(of first/sole Applicant)

☐ Business☐ Professional☐ House Wife☐ Agriculture☐ Service☐ Student☐ Retired☐ Others

b NAME OF THIRD APPLICANT

☐ Mr. ☐ Ms.

PAN/PERN #

☐ KYC Proof #

Date of Birth/Date of Incorporation

D D M M Y Y

Gross Annual Income

☐ Below 1 Lac☐ 5 - 10 Lacs☐ >25 Lacs - 1 Crore☐ 1 - 5 Lacs☐ 10 - 25 Lacs☐ >1 Crore

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

Father's Name

Occupation

(of first/sole Applicant)

☐ Business☐ Professional☐ House Wife☐ Agriculture☐ Service☐ Student☐ Retired☐ Others

## 8 Power of Attorney (POA)

NAME OF POA

☐ Mr. ☐ Ms. ☐ M/s.

PAN/PERN #

☐ KYC Proof #

Date of Birth

D D M M Y Y

## 9 \*FATCA INFORMATION/ FOREIGN TAX LAWS (For Individual including Sole Proprietor) (For Non-individual, mandatory to fill up UBO form) (Refer instruction)

The below information is required for all applicant(s)/ guardian

Address Type:

☐ Residential or Business☐ Residential☐ Business☐ Registered Office

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

Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? (to be filled mandatorily)

☐ Yes☐ No

If Yes, please provide the following information [mandatory]

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

Category	First Applicant (Including Minor)	Second Applicant/ Guardian	Third Applicant
Place/ City of Birth			
Country of Birth			
Country of Tax Residency 1 ^			
Tax Identification No *			
Identification Type (TIN or other, please specify)			
Country of Tax Residency 2 ^			
Tax Identification No *			
Identification Type (TIN or other, please specify)			
Country of Tax Residency 3 ^			
Tax Identification No *			
Identification Type (TIN or other, please specify)			

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 and hereby accept the same.

^ 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.

# Please attach proof. Refer instructions page point XII - PAN/PERN and KYC

Web site [www.peerlessmf.co.in](http://www.peerlessmf.co.in)Toll Free : 1800 103 8999  
Non Toll Free : 022 61779922[connect@peerlessmf.co.in](mailto:connect@peerlessmf.co.in)

**10 \*BANK ACCOUNT DETAILS** (Please attach copy of cancelled cheque) For registering Multiple Bank Accounts please fill up "Registration of Multiple Bank Account" Form

Name of the Bank :						Branch:					
Account Type (Please <input checked="" type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> FCNR						Account Number :					
Branch Address :						City:					
IFSC Code :						MICR Code :					
Pin:											

AMC reserves the right to use any mode of payment deemed appropriate. I/We understand that AMC shall not be responsible if transaction through DC/RTGS/NEFT could not be carried out because of incomplete or incorrect information.

**11 \*INVESTMENT DETAILS** I/We would like to invest in the following scheme of Peerless Mutual Fund Scheme :

Scheme :Peerless				Plan		<input type="checkbox"/> Regular		<input type="checkbox"/> Direct					
Option <input type="checkbox"/> Growth <input type="checkbox"/> Dividend				Sub-Option		<input type="checkbox"/> Dividend Payout		<input type="checkbox"/> Dividend Reinvestment (default)					
In case of any ambiguity / incomplete information, the default plan / option / sub-option will be applicable as per the scheme's Key Information Memorandum, Scheme Information Document & Statement of Additional Information. Please see the Plan, Option and Dividend policy details in the SID/KIM before filling in the above details.													
Dividend Frequency				<input type="checkbox"/> Normal		<input type="checkbox"/> Monthly		<input type="checkbox"/> Quarterly		<input type="checkbox"/> Half-Yearly		<input type="checkbox"/> Yearly	

**12 \*PAYMENT DETAILS** (In case of DD, please provide us specific declaration)

Mode of Payment				<input type="checkbox"/> Cheque		<input type="checkbox"/> DD		<input type="checkbox"/> Fund Transfer		<input type="checkbox"/> Others		Please specify	
Cheque/DD No.												Date	
												D D M M Y Y Y Y	
Gross Amount (Rs)				DD Charges (Rs)		Net Amount (Rs)							
Drawn on Bank & Branch												Account Type <input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> FCNR	

**13 SYSTEMATIC INVESTMENT PLAN (SIP) PAYMENT TYPES** (Please select any one option)

☐ SIP through Post Dated Cheques (Please fill & submit with this attached form) ☐ SIP through Auto Debit (ECS) (Please fill up enclosed SIP Auto Debit (ECS) Form & submit with this form)

**14 NOMINATION DETAILS** (Please refer to Instructions page, point no VII) in case of existing investor, nomination details mentioned in the below table will replace the existing details registered in the folio

Nomination Required <input type="checkbox"/> YES <input type="checkbox"/> NO							
Nominee Name	Relationship with Nominee	Date of Birth of Minor	Guardian Name (in case Nominee is Minor)	Allocation (%)	Sign of Guardian	Sign of Nominee	Sign of Applicants
							1st App.
							2nd App.
							3rd App.

Please note that if you do not furnish any nomination details, it is deemed to be assumed that you do not wish to nominate anyone.

**15 HOW DO YOU WISH TO RECEIVE THE DOCUMENT(S)** (Please ☒)

I/We wish to receive the following documents via email in lieu of physical document (s)				I/We wish to receive the Account Statement in ( any one)			
<input type="checkbox"/> Annual Reports <input type="checkbox"/> Account Statement <input type="checkbox"/> Other Statutory Information				<input type="checkbox"/> English (Default option) <input type="checkbox"/> Bengali <input type="checkbox"/> Malayalam			

**16 DOCUMENTS ENCLOSED** (Please ☒)

<input type="checkbox"/> Resolution/Authorisation to invest	<input type="checkbox"/> List of Authorized Signatories with Specimen Signatures	<input type="checkbox"/> Memorandum & Articles of Association
<input type="checkbox"/> Trust Deed	<input type="checkbox"/> Bye-laws	<input type="checkbox"/> Partnership Deed
<input type="checkbox"/> Copy of PAN Card	<input type="checkbox"/> KYC	<input type="checkbox"/> PIO Card
<input type="checkbox"/> Foreign Inward Remittance Certificate	<input type="checkbox"/> Special Product Form (SIP / STP / SWP / AEP)	<input type="checkbox"/> Overseas Auditor Certificate
<input type="checkbox"/> Notarised POA	<input type="checkbox"/> Copy of cancelled cheque	

**17 \*DECLARATION AND SIGNATURES**

I/We have read and understood the contents of the Statement of Additional Information and Scheme Information Document of the Scheme (s). I/We hereby apply for units of the scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the Scheme and to other statutory requirements of SEBI/AMFI, Prevention of Money Laundering Act, 2002 and such other regulations as may be applicable from time to time. I/We confirm to have understood the investment objective, investment pattern and risk factors applicable to Plan/Option under the Scheme (s). I/We agree that in case of my/our investment in the scheme is equal to or more than 25% of the corpus of the scheme, then Peerless Funds Management Co. Ltd. has full right to refund the excess to me/us to bring my/our investment below 25%. I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making this investments. I/We undertake that these investments are on my/our own account and in event Know Your Customer process is not completed by me/us to the satisfaction of the Mutual Fund, I/We hereby authorise the Mutual Fund to redeem the funds invested in the scheme, in favour of the applicant at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law. I/We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulations or any other applicable law enacted by the Government of India or any Statutory Authority. I/We hereby declare that the particulars above are correct. I/We hereby, further agree that the Fund can directly credit all the dividend and redemption amount to my bank details given above. The ARN holder has disclosed to me/us all the commission (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. For NRIs : I/We confirm that I am/We are Non-resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through approved banking channels or from my/our Non-resident External/Ordinary Account/FCNF/INRSR Account.

Sole/1st applicant/Guardian/Authorised Signatory/POA Holder

2nd Applicant/Authorised Signatory/POA Holder

3rd Applicant/Authorised Signatory//POA Holder

All fields marked with \* are mandatory

**CHECKLIST** (Please submit the following documents with application wherever applicable). All documents should be original/true copies certified by a Director/Trustee/Company Secretary/Authorised Signatory/Notary Public.

Documents	Individual	Companies	Societies	Partnership Firm	Investment through POA	Trust	NRI	Flis
Resolution/Authorisation to invest		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
List of Authorised Signatories with Specimen Signatures		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Memorandum & Articles of Association		<input checked="" type="checkbox"/>						
Trust Deed						<input checked="" type="checkbox"/>		
Bye-laws			<input checked="" type="checkbox"/>					
Partnership Deed				<input checked="" type="checkbox"/>				
Notarised POA					<input checked="" type="checkbox"/>			
PAN/PERN Proof	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
KYC in case of Investment of any Amount	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Foreign Inward Remittance Certificate		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Copy of Cancelled Cheque	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Ultimate Beneficial Ownership (UBO)		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

# INSTRUCTIONS TO INVESTORS FOR FILLING UP THE APPLICATION FORM

## I. GENERAL INFORMATION

- Please read the Statement of Additional Information, Scheme Information Document (SID) and Key Information Memorandum (KIM) carefully before investing. All applicants are deemed to have accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form and tendering payment.
- Application Form should be filled legibly in English in BLOCK LETTERS so as to avoid errors in your application processing.
- Correction/Cancellation of any of the mandatory information should be counter signed by the investor. Please strike out any section which is not applicable. Refer to the checklist to ensure that the requisite details and documents are provided in order to avoid unnecessary delays and/or rejection of your application.
- The Application No./Folio No., the Scheme name and the name of the applicant should be mentioned on the reverse side of the instrument that accompanies the application.
- Application Form incomplete in any respect or not accompanied by a Cheque/Demand Draft are liable to be rejected and the money paid will be refunded without interest.
- All communications and payments shall be made to the First Applicant only irrespective of the holding basis.
- The right to accept or reject any application in the whole or in part lies with the Peerless Funds Management Co. Ltd. (AMC)/Peerless Trust management Co. Ltd. (Trustee)/Peerless Mutual Fund.
- The investors who wish to avail Systematic Investment Plan (SIP), Systematic Transfer Plan (STP), Systematic Withdrawal Plan (SWP) and Automatic Encashment Plan (AEP) facility must use separate Common Transaction Slips available in any of the Peerless Mutual Fund - Customer Service Centres.
- The application complete in all respects along with the cheque/fund transfer instructions must be submitted to the nearest designated Investor Service Centre/Collection Centre.
- In case of non-liquid schemes units allotment are subject to realization of cheques & DD's if amount is Rs.2 lac and above.
- Transaction Charges: In accordance with SEBI circular No. Cir/IMD/DF/13/2011 dated August 22, 2011, Peerless Funds Management Co. Ltd. (AMC)/Peerless Mutual Fund will deduct Transaction Charges from the purchase/ subscription amount received from the investors investing through a valid AMFI Registered Distributor (provided the Distributor has opted to receive the Transaction Charges). Transaction Charge of Rs. 150/- (for a first time investor across mutual funds) or Rs. 100/- (for existing investor across mutual funds) per purchase/subscription of Rs. 10,000/- and above are deductible from the purchase/subscription amount and payable to the Distributor. The balance amount shall be invested. Transaction Charges in case of investments through SIP are deductible only of the total commitment of investment (i.e.) amount per SIP installment multiplied by No. of installments amounts to Rs. 10,000/- or more, in such cases Transaction Charges shall be deducted in 3-4 installments. Transaction Charges shall not be deducted a) where the distributor of the investor has not opted to receive any Transaction Charges, b) for purchases/subscription /total commitment amount in case of SIP of an amount less than Rs. 10,000/-, c) for transactions other than purchases/subscriptions relating to new inflows i.e. through Switches/Systematic Transfers/ Dividend Transfers/Dividend Reinvestment etc. and d) For purchases/subscriptions made directly with the Fund (i.e. not through any Distributor) e) for purchases/subscriptions routed through Stock Exchange(s). First/Sole Applicant/Guardian should indicate whether he is a first time investor across Mutual Funds or an existing investor in the appropriate box provided for this purpose. AMC/Mutual Fund will endeavour to identify the investor as first time or existing based on Permanent Account No.(PAN) at the First/Sole/Applicant/Guardian level. If the PAN details are available then First/Sole applicant/Guardian will be treated as existing investor else first time. However if an investor has not ticked any option, he will be considered as an existing investor.

## II. APPLICANT INFORMATION

- Name should be given in full without any abbreviations. Preferably write exactly as it appears in your Bank Account or as it appears in the incorporation document as the case may be.
- Guardian name and date of birth of the Minor is mandatory for investment on behalf of Minor applicant. Age proof of minor is mandatory. Upon attaining majority a minor has to write to the fund giving his specimen signature duly authenticated by his banker as well as his new bank mandate, PAN details, KYC in order to facilitate the Fund to update its records and permit the erstwhile minor to operate the account in his own right.
- Name of the Contact Person, Email and Telephone no. should be mentioned in case of investments by Company, Body Corporate, Trust, Society, FII and other non-individual applicants.
- Applicant should specify the mode of holding. In case it is not mentioned, the default will be "anyone or survivor".
- In case of NRI investment, complete postal address should be stated. P.O. Box address alone is not sufficient. NRIs/FIIs should necessarily state their overseas address failing which application may be rejected. In addition, Indian address should be stated for correspondence.
- To help us service you better please provide email Id and mobile number.
- In case of Minor Investor proper third party declaration should be submitted by donor.

## III. BANK DETAILS

Applicants are requested to mention the bank account, since the same is mandatory as per the directives issued by SEBI. Application without this information will be deemed to be incomplete and are liable for rejection. Investor should submit a copy of a cancelled cheque to verify details.

## IV. INVESTMENT DETAILS

Investors should indicate the Plan/Option for which the application is made. In case Investors wish to choose both the Options, separate Application form will have to be filled. In case applications are received where Plan/Option/ Sub-option/Dividend frequency is not selected the default options will be considered.

## V. PAYMENTS

- The Fund Names are Peerless Flexible Income Fund, Peerless Income Plus Fund, Peerless 3 in 1 Fund, Peerless Equity Fund, Peerless Midcap Fund.
- Resident Investors may make payment by cheque payable locally in the city where the application form is submitted at AMC/Karvy ISC's.
- The cheque should be drawn in favour of "Scheme name" and should be crossed 'Account Payee Only'.
- The cheque should be drawn on any bank which is situated at and is a member/ sub member of the bankers clearing house. Cheque drawn on the bank not participating in the clearing house will not be accepted.
- The following mode of payments are not valid and applications accompanied by such payments are liable to be rejected: i) Money Order/Post Order, ii) Postdated Cheques iii) Third Party Cheques without third party declaration.
- Bank charges for outstation DD will not be borne by AMC for Peerless Liquid Fund, Peerless Ultra Short Term Fund & Peerless Short Term Fund.
- Returned cheques will not be presented again for collection and the accompanying application will be rejected.
- Single cheque for investments in multiple schemes will not be accepted.
- In case of payment through electronic mode (RTGS/NEFT or Transfer Letter), contact the nearest AMC/Karvy ISC for the Bank Account Number to which the purchase/additional purchase amount is to be credited also while submission of a purchase form please provide the bank acknowledgement copy along with purchase application.
- If the scheme name on the application form and cheque is different, then the units will be allotted as per the scheme name mentioned on the application.
- NRI /FII's Repatriation basis: Payments by NRIs/FIIs may be made by way of cheques drawn on non-resident external accounts payable at par and payable at the cities where the Investor Service Centers are located. Non-Repatriation basis: NRIs investing on a non repatriable basis may do so by issuing cheques drawn on Non-Resident Ordinary (NRO) account payable at the cities where the Investor Service Centers are located.

## VI. PAYMENT OF REDEMPTION /DIVIDEND

Investors are requested to provide the following details of bank account i.e. Name of the bank, branch address, account type and account no., the 11 digit IFSC Code (Indian Financial System) in the application form. Based on these information AMC will enable secure transfer of your redemption and dividend payouts via the various electronic mode of transfers (RTGS/NEFT/ Direct Credit mode that are available in the banking system). We are currently offering Direct Credit facility with HDFC Bank Ltd. If Investor is having bank account with HDFC bank, he/she will receive Redemption/ Dividend proceeds via Direct Credit only to their respective bank accounts. The Mutual Fund, however, reserves the right to issue a Cheque/Demand Draft to unit holders residing at locations where this facility is not available. If the remittance is delayed or not affected for reasons of incomplete or incorrect information, AMC cannot be held responsible.

## VII. NOMINATION DETAILS

- Nomination shall be mandatory for new folios/accounts opened by individuals especially with sole holding and no new folios/accounts for individuals in single holding will be opened without nomination. Applicants applying for Units singly/jointly can make a nomination at the time of initial investment or during subsequent investments.
- The nomination can be made only by individuals applying for /holding units on their own singly or jointly. Non-individuals including society, trust (other than a religious or charitable trust), body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders will have to sign the nomination form.
- A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the Unit Holder. Nomination can also be made in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
- A Non-Resident Indian can be a Nominee subject to the exchange control regulations in force, from time to time.
- Nomination in respect of the units stands rescinded upon the redemption/transfer/transmission of units.
- Transmission of units in favour of a Nominee shall be a valid discharge by the Asset Management Company (AMC) against the legal heir.
- Investor can nominate maximum three nominees.
- The cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination. On cancellation of the nomination, the nomination shall stand rescinded and the AMC/ Fund/ Trustees shall not be under any obligation to transmit the units in favour of the Nominee.
- If you do not furnish any nomination details, it is deemed to be assumed that you do not wish to nominate anyone.
- Nomination will not be allowed in a folio held on behalf of a minor.

## VIII. DECLARATION AND SIGNATURES

- Signatures can be in English or in any Indian language. Thumb impressions must be attested by a Magistrate/Notary Public under his/her official seal. In case of HUF, the Karta will sign on behalf of the HUF. Similarly, for the Association of Persons (AOP) the application must be signed by the Authorised Signatory. Applications on behalf of minors should be signed by their Guardian.
- If the application form is signed by a Power of Attorney (POA) holder, the form should be accompanied by a notarised photocopy of the POA. Alternatively, the original POA can be submitted, which will be returned after verification. The signature of the investor and the POA holder has to be clearly captured in the POA document to be accepted as a valid document.
- In case of corporate or any non-individual investors, a list of authorised signatories should be submitted along with the application form.

## IX. EMAIL COMMUNICATION

Account Statements / Newsletters / Annual Reports / Other statutory information (as may be permitted under SEBI (Mutual Funds) Regulations, 1996) can be sent to each unit holders by courier/post/email. Unit holders who have opted to receive these documents by email will be sent all documents by email only and no physical documents will be sent. Should the Unit holder experience any difficulty in accessing the electronically delivered documents, the Unit holder may request the fund for delivery of the same through alternate means. It is deemed that the Unit holder is aware of the security risks including possible third party interception of the documents.

## X. E-ALERTS

This facility enables the Unit holder to receive SMS confirmation for purchase, redemption, switch, dividend declaration.

## XI. DIRECT PLAN

In compliance with SEBI circular no.CIR/IMD/DF/21/2012 the 'Direct Plans' have been introduced in all the eligible schemes of Peerless Mutual Fund along with the 'Regular Plan', effective January 01, 2013. The Direct Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor. All Plans / Options / Sub-Options offered under the Schemes of Existing Plan will also be available for subscription under the "Direct Plan". For details please refer to the table on Scheme options. Accordingly, investors subscribing under Direct Plan of Peerless Equity Fund will have to indicate the Scheme / Plan name in the application form as "Peerless Equity Fund - Direct Plan". Investors should also indicate "Direct" in the ARN column. In case Distributor code is mentioned on the application form, the Distributor code will be ignored and no commission will be paid to the distributor. Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc and no commission for distribution of Units will be paid / charged under Direct Plan.

## XII. ANTI MONEY LAUNDERING (AML) REGULATIONS

Details for compliance with Anti Money Laundering (AML) regulations Prevention of Money Laundering Act, the SEBI Circulars on Anti Money Laundering and the Client Identification implementation procedures prescribed by AMFI inter alia require the AMC to verify the records of identity and address(es) of investors. To ensure adherence to these requirements, investors are required to approach Points of Service (POS) (list of POS available on [www.amfiindia.com](http://www.amfiindia.com)) appointed by any of the KYC Registration Agency and submit documents for completion of appropriate KYC checks. The Mutual Fund website also prescribes the list of documents that can be submitted by investors to the POS to get their KYC checks completed. It is mandatory for all investors (including joint holders, NRIs, POA holders and guardians in the case of minors) to furnish such documents and information as may be required to comply with the Know Your Customers (KYC) policies under the AML Laws. Applications without such documents and information may be rejected. In terms of SEBI circulars dated April 27, 2007, April 03, 2008 and June 30, 2008 read with SEBI letter dated June 25, 2007, Permanent Account Number (PAN) would be the sole identification number for all participants transacting in the securities market, irrespective of the amount of transaction, except (a) investors residing in the state of Sikkim; (b) Central Government, State Government, and the officials appointed by the courts e.g. Official liquidator, Court receiver etc.(under the category of Government) and (c) investors participating only in micro-pension. SEBI, in its subsequent letters dated June 19, 2009 and July 24, 2012 has conveyed that Systematic Investment Plans (SIP) and lumpsum investments (both put together) per mutual fund up to Rs.50,000/- per year per investor shall be exempted from the requirement of PAN. Accordingly, investments in Peerless Mutual Fund (including SIP investment where the aggregate of SIP installments in a rolling 12 months period or in a financial year i.e April to March) of upto Rs 50,000/per investor per year shall be exempt from the requirement of PAN. However, eligible Investors (including joint holders) should comply with the KYC requirement through registered KRA by submitting photo identification documents as proof of identification and the Proof of Address [self-attested by the investor / attested by the ARN Holder/AMFI distributor]. These exempted investors will have to quote the "PERN (PAN exempt KYC Ref No) in the application form. This exemption of PAN will be applicable only to investments by individuals (including NRIs but not PIOs), joint holders, Minors and Sole proprietary firms. PIOs, HUFs and other categories of investors will not be eligible for this exemption. Thus, submission of PAN is mandatory for all other investors existing as well as prospective investors (except the ones mentioned above) (including all joint applicants/holders, guardians incase of minors, POA holders and NRIs but except for the categories



## INSTRUCTIONS TO INVESTORS FOR FILLING UP THE APPLICATION FORM

mentioned above) for investing with mutual funds from this date. Investors are required to register their PAN with the Mutual Fund by providing the PAN card copy (along with the original for verification which will be returned across the counter). The procedure implemented by the AMC and the decisions taken by the AMC in this regard shall be deemed final. After completion of KYC compliance, investors need to approach KRA for Change of Address and not Registrar (KARVY). In respect of KYC compliant Folio, prospective Change of Address received along with transaction slip will not be processed by Registrar (KARVY). The AMC reserves the right to reject subscription requests in the absence of appropriate compliance with the AML Laws. In line with SEBI circular No. MIRSD/Cir-5/2012 dated April 13, 2012 and various other guidelines issued by SEBI on the procedural matters for KYC Compliances, the following additional provisions are applicable effective December 1, 2012: 1. All investors who have opened accounts with the Intermediaries on or after 1 January 2012 have

been complying with the revised KYC norms with one of the KYC Registration Agencies (KRA). MF investors who had already complied with the KYC-KRA requirements post 1 January 2012, need not undergo any changes.

- MF investors who had complied with KYC requirements with CVL, prior to 1 January 2012, and wanting to make fresh investments / SIPs with a different MF, will have to submit the revised KRA form with all the relevant documents.
- MF investors who had complied with KYC requirements with CVL, prior to 1 January 2012, and wanting to make additional investment in the same MF (where they hold investments), with no further requirement for KRA compliance.
- The above will be applicable for both Individuals and Non-individuals.

### XIII LIST OF SCHEMES

PEERLESS FLEXIBLE INCOME FUND-DIRECT PLAN-GROWTH OPTION	PEERLESS 3 IN 1 FUND-GROWTH OPTION
PEERLESS FLEXIBLE INCOME FUND-DIRECT PLAN-DIVIDEND OPTION	PEERLESS 3 IN 1 FUND-DIVIDEND OPTION
PEERLESS FLEXIBLE INCOME FUND-GROWTH OPTION	PEERLESS EQUITY FUND-DIRECT PLAN-GROWTH OPTION
PEERLESS FLEXIBLE INCOME FUND-DIVIDEND OPTION	PEERLESS EQUITY FUND-DIRECT PLAN-DIVIDEND OPTION
PEERLESS INCOME PLUS FUND-DIRECT PLAN-GROWTH OPTION	PEERLESS EQUITY FUND-GROWTH OPTION
PEERLESS INCOME PLUS FUND-DIRECT PLAN-DIVIDEND OPTION	PEERLESS EQUITY FUND-DIVIDEND OPTION
PEERLESS INCOME PLUS FUND-GROWTH OPTION	PEERLESS MIDCAP FUND-DIRECT PLAN-GROWTH OPTION
PEERLESS INCOME PLUS FUND-DIVIDEND OPTION	PEERLESS MIDCAP FUND-DIRECT PLAN-DIVIDEND OPTION
PEERLESS 3 IN 1 FUND-DIRECT PLAN-GROWTH OPTION	PEERLESS MIDCAP FUND-GROWTH OPTION
PEERLESS 3 IN 1 FUND-DIRECT PLAN-DIVIDEND OPTION	PEERLESS MIDCAP FUND-DIVIDEND OPTION

NAME OF THE SCHEMES	PLAN	OPTIONS & SUB-OPTION	DEFAULT OPTION UNDER THE PLAN	DEFAULT DIVIDEND OPTION
PEERLESS FLEXIBLE INCOME FUND	REGULAR & DIRECT	GROWTH, DIVIDEND-MONTHLY, QUARTERLY	GROWTH	QUARTERLY REINVESTMENT
PEERLESS INCOME PLUS FUND	REGULAR & DIRECT	GROWTH, DIVIDEND-MONTHLY, QUARTERLY	GROWTH	QUARTERLY REINVESTMENT
PEERLESS 3 IN 1 FUND	REGULAR & DIRECT	GROWTH, DIVIDEND-MONTHLY, QUARTERLY	GROWTH	QUARTERLY REINVESTMENT
PEERLESS EQUITY FUND	REGULAR & DIRECT	GROWTH, DIVIDEND-NORMAL, QUARTERLY, HALF-YEARLY, YEARLY	GROWTH	NORMAL REINVESTMENT
PEERLESS MIDCAP FUND	REGULAR & DIRECT	GROWTH, DIVIDEND-REINVESTMENT, PAYOUT	GROWTH	REINVESTMENT

NAME OF THE SCHEMES	PLAN	MINIMUM APPLICATION AMOUNT	MINIMUM SIP AMOUNT
PEERLESS FLEXIBLE INCOME FUND	REGULAR & DIRECT	Rs. 1000 AND IN MULTIPLES OF Rs. 1 THERE AFTER	FORTNIGHTLY/MONTHLY=Rs 500; QUARTERLY=Rs. 1000; HALF-YEARLY-Rs. 2000
PEERLESS INCOME PLUS FUND	REGULAR & DIRECT	Rs. 1000 AND IN MULTIPLES OF Rs. 1 THERE AFTER	FORTNIGHTLY/MONTHLY=Rs 500; QUARTERLY=Rs. 1000; HALF-YEARLY-Rs. 2000
PEERLESS 3 IN 1 FUND	REGULAR & DIRECT	Rs. 1000 AND IN MULTIPLES OF Rs. 1 THERE AFTER	FORTNIGHTLY/MONTHLY=Rs 500; QUARTERLY=Rs. 1000; HALF-YEARLY-Rs. 2000
PEERLESS EQUITY FUND	REGULAR & DIRECT	Rs. 1000 AND IN MULTIPLES OF Rs. 1 THERE AFTER	FORTNIGHTLY/MONTHLY=Rs 500; QUARTERLY=Rs. 1000; HALF-YEARLY-Rs. 2000
PEERLESS MIDCAP FUND	REGULAR & DIRECT	Rs. 1000 AND IN MULTIPLES OF Rs. 1 THERE AFTER	FORTNIGHTLY/MONTHLY=Rs 500; QUARTERLY=Rs. 1000; HALF-YEARLY-Rs. 2000

### XIV EUIN No.

Investments through distributors

As per directions of Securities and Exchange Board of India (SEBI), the distributors, agents or any persons employed or engaged or to be employed or engaged in the sale and/or distribution of mutual fund products are required to have a valid certification from the National Institute of Securities Markets (NISM) by passing the certification examination. Further, no agents/distributors are entitled to sell units of mutual funds unless the intermediary is registered with Association of Mutual Funds in India (AMFI).

Employee Unique Identification Number (EUID): SEBI has made it compulsory for every employee/relationship manager/ sales person of the distributor of mutual fund products to quote the EUID obtained by him/her from AMFI in the Application Form. EUID, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/ sales person later leaves the employment of the distributor. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUID in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUID is correctly filled up in the Application Form. However, if your distributor has not given you any advice pertaining to the investment, the EUID box may be left blank. In this case, you are required to provide a duly signed declaration to this effect, as given in the Form. Overseas Distributors: Overseas Distributors are exempt from obtaining NISM certification and

AMFI registration. However, such Overseas Distributors are required to comply with the guidelines/ requirements as may be issued by AMFI/SEBI from time to time and also comply with the laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors.

Direct Investments: Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan. In case of valid application received without indicating "Direct Plan" against the Scheme / Plan name and without any Distributor Code mentioned on the form, the application will be processed under "Direct Plan"

### XV UNITHOLDERS' INFORMATION

#### 1. Account Statement:

- An allotment confirmation specifying the units allotted shall be sent by way of email and/or SMS within 5 Business Days of receipt of valid application to the Unit holders registered e-mail address and/or mobile number. Thereafter, a Consolidated Account Statement (CAS) containing details relating to all the transactions carried out by the investor across all schemes of all mutual funds during the month and holding at the end of the month shall be sent to the Unit holder in whose folio transactions have taken place during that month, on or before 10th of the succeeding month.

- In case of a specific request received from the Unit holders, the AMC/Fund will provide an account statement (reflecting transactions of the Fund) to the investors within 5 Business Days from the receipt of such request.

- Further, the CAS detailing holding across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/email on or before 10th day of succeeding month, to all such Unit holders in whose folios no transaction has taken place during that period. The half yearly consolidated account statement will be sent by e-mail to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical form.

- The holding(s) of the beneficiary account holder for units held in demat mode will be shown in the statement issued by respective Depository Participants (DPs) periodically. For more details, please refer the Scheme Information Document (SID) and Statement of Additional Information (SAI).

#### 2. Annual Financial Results:

The Scheme wise annual report or an abridged summary thereof shall be sent:

- by e-mail only to the Unit holders whose e-mail address is available with the Fund, (ii) in physical form to the Unit holders whose email address is not registered with the Fund and/or those Unit holders who have opted / requested for the same. The scheme-wise annual report or an abridged summary shall be sent by mail/e-mail not later than four months from the date of closure of the relevant accounting year (i.e. 31st March each year). The physical copy of the scheme-wise annual report or abridged summary thereof shall be made available to the investors at the registered office of the AMC. A link of the scheme annual report or abridged summary thereof shall be displayed prominently on the website of the Fund and shall also be displayed on the website of Association of Mutual Funds in India (AMFI).

#### 3. Half yearly Disclosures:

Portfolio / Unaudited Financial Results (This is a list of securities where the corpus of the scheme is currently invested. The market value of these investments is also stated in portfolio disclosures) The Mutual Fund shall within one month from the close of each half year, that is on 31st March and on 30th September, host a soft copy of its unaudited financial results on their website and shall publish an advertisement disclosing the hosting of such financial results on their website, in at least one English daily newspaper having nationwide circulation and in a newspaper having wide circulation published in the language of the region where the Head Office of the mutual fund is situated. The mutual fund may opt to send the complete statement of its scheme portfolio to all unit holders in lieu of the advertisement.

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# SYSTEMATIC INVESTMENT PLAN (SIP)

**Peerless**  
MUTUAL FUND

## SIP NACH / AUTO DEBIT / ECS FORM

New Investors are requested to fill in the Common Application form. First SIP Cheque and subsequent via Auto Debit in selected cities only.

<b>1</b>	<b>DISTRIBUTOR / ARN CODE</b> ARN-9992	<b>Employee Unique Identification Number (EUIIN)*</b>	<b>SUB-BROKER CODE / AGENT CODE</b>	<b>DATE &amp; TIME OF RECEIPT</b> <small>FOR OFFICE USE ONLY</small>																				
<small>Upfront commission shall be paid directly by the investor to the AMFI registered distributors based on the investor's assessment of various factors including the service rendered by the distributor</small>																								
<small>* I/We hereby confirm that the EUIIN 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 and the distributor has not charged any advisory fees on this transaction".</small>																								
<div style="display: flex; justify-content: space-between;"> <span><small>Sole/1st applicant/Guardian/Authorised Signatory/POA Holder</small></span> <span><small>2nd Applicant/Authorised Signatory/POA Holder</small></span> <span><small>3rd Applicant/Authorised Signatory/POA Holder</small></span> </div>																								
<b>2</b>	<b>REGISTRATION CUM MANDATE FORM FOR SIP THROUGH NACH, AUTO DEBIT OR ECS (Debit Clearing/Auto Debit)</b>																							
(Please <input checked="" type="checkbox"/> ) <input type="checkbox"/> New Registration* <input type="checkbox"/> Renewal of SIP <input type="checkbox"/> Change in Bank Details <input type="checkbox"/> Cancellation of SIP <input type="checkbox"/> Micro SIP <small>* if you are a new investor kindly fill the common application form</small>																								
<b>3</b>	<b>TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS/AGENTS ONLY (Please tick any one of the below)</b>																							
<input type="checkbox"/> I confirm that I am a First Time Investor in Mutual Funds (Rs. 150/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more) OR <input type="checkbox"/> I confirm that I am an Existing Investor in Mutual Funds (Rs. 100/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more) <small>If the total commitment of investment through SIP (i.e. installments) amounts to Rs. 10,000/- or more and your AMFI registered Distributor has chosen 'opt in' option of charging transaction charge, the same are deductible as applicable (refer instruction related to SIP) from the installment amount and paid to the distributor. Transaction charges will be recoverable in 3 to 4 installments. Units will be issued against the balance amount invested.</small>																								
<b>4</b>	<b>INVESTOR AND INVESTMENT DETAILS</b>																							
Sole/First Investor Name																								
PAN/PERN <span style="float: right;"><input type="checkbox"/> KYC Proof</span>																								
Folio/Application No. <span style="float: right;">Existing Investors please mention Folio No.</span>																								
Scheme Peerless																								
Plan <input type="checkbox"/> Direct <input type="checkbox"/> Regular <span style="margin-left: 20px;">Option: <input type="checkbox"/> Growth <input type="checkbox"/> Dividend</span> <span style="margin-left: 20px;">Sub Option <input type="checkbox"/> Dividend Reinvestment (default) <input type="checkbox"/> Dividend Payout</span>																								
Dividend Frequency <input type="checkbox"/> Normal <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly																								
<small>In case of any ambiguity / incomplete information, the default plan / option / sub-option will be applicable as per the scheme's Key Information Memorandum, Scheme Information Document &amp; Statement of Additional Information . Please see the Plan, Option and Dividend policy details in the SID/KIM before filling in the above details.</small>																								
<b>Individual Applicant must fill individual self certification under Fatca. All Non Individual Investors have to mandatorily fill UBO Declaration Form.</b>																								
<b>5</b>	<b>SIP DETAILS (Please tick on any 1 SIP frequency only. In case the SIP frequency opted for is either Monthly, Quarterly or Half Yearly, please tick on any 1 SIP date only)</b>																							
Each SIP Amount (Rs)																								
First SIP Cheque No. <span style="margin-left: 100px;">Cheque Amount (Rs)</span> <span style="float: right;">Cheque Date :</span>																								
Frequency <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half Yearly <span style="margin-left: 20px;">SIP Period</span> <table style="display: inline-table; border-collapse: collapse;"> <tr> <td>Start Date</td> <td>M</td> <td>M</td> <td>Y</td> <td>Y</td> <td>End Date</td> <td>M</td> <td>M</td> <td>Y</td> <td>Y</td> </tr> <tr> <td colspan="10"> <input type="checkbox"/> Regular <input type="checkbox"/> Perpetual                 </td> </tr> </table>					Start Date	M	M	Y	Y	End Date	M	M	Y	Y	<input type="checkbox"/> Regular <input type="checkbox"/> Perpetual									
Start Date	M	M	Y	Y	End Date	M	M	Y	Y															
<input type="checkbox"/> Regular <input type="checkbox"/> Perpetual																								
SIP Date should be either 1st / 7th / 10th / 15th / 20th / 25th (Note : Cheque should be drawn on bank details provided below. Please allow minimum one month for Auto Debit to register and start). Each of the SIP installment excluding initial cheque should be of the same amount & there should be a gap of 30 days between 1st & 2nd SIP installment. Please refer NACH instruction page for further clarification.																								
I/We hereby, authorise Peerless Mutual Fund and their authorised service providers, to debit my/our following bank account ECS (Debit Clearing)/Auto Debit to account for collection of SIP Payment																								
<small>I/We hereby declare that the particulars given above are correct and express my willingness to make payment referred above through participation in NACH/ECS/Auto debit. If the transaction is delayed or not executed at all for any reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We will inform Peerless Mutual Fund about any changes in my bank account. I/We have read and agreed to the terms and conditions mentioned overleaf. I/We have read and understood the contents of SID/KIM, I/We hereby apply for the respective units of Peerless Mutual Fund Scheme at NAV based resale price and agree to abide by terms, conditions, rules and regulation of the scheme (s).</small>																								
<b>6</b>	<b>FOR BANK USE ONLY</b>																							
I/We hereby certify that the particulars furnished above are correct as per our records and we hereby declare that the copy of this form duly completed has been submitted to us.																								
Recorded On <span style="margin-left: 200px;">Recorded By</span>																								
Mandate reference No.																								
Branch : <span style="float: right;">Date : DD / MM / YY</span>																								
Signature of the authorised official from the bank <span style="float: right;">Bank Stamp</span>																								
<b>7</b>	<b>MANDATE INSTRUCTIONS FORM/NACH/ECS/DIRECT DEBIT/STANDING INSTRUCTION</b>																							
UMRN <span style="margin-left: 100px;">Date</span> <span style="margin-left: 20px;">D D M M Y Y Y Y</span>																								
Sponsor Bank Code <span style="margin-left: 100px;">Utility Code</span>																								
(Tick <input checked="" type="checkbox"/> )																								
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%; text-align: center;">CREATE</td> <td style="width: 40%;">I/We hereby authorize</td> <td style="width: 30%;">PEERLESS FUNDS MANAGEMENT COMPANY LIMITED</td> <td style="width: 10%;">to debit (Tick <input checked="" type="checkbox"/>)</td> <td style="width: 10%;">SB / CA / CC / SB-NRE / SB-NRO / Other</td> </tr> <tr> <td style="text-align: center;">MODIFY</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="text-align: center;">CANCEL</td> <td>Bank a/c number</td> <td></td> <td></td> <td></td> </tr> </table>					CREATE	I/We hereby authorize	PEERLESS FUNDS MANAGEMENT COMPANY LIMITED	to debit (Tick <input checked="" type="checkbox"/> )	SB / CA / CC / SB-NRE / SB-NRO / Other	MODIFY					CANCEL	Bank a/c number								
CREATE	I/We hereby authorize	PEERLESS FUNDS MANAGEMENT COMPANY LIMITED	to debit (Tick <input checked="" type="checkbox"/> )	SB / CA / CC / SB-NRE / SB-NRO / Other																				
MODIFY																								
CANCEL	Bank a/c number																							
with Bank <span style="margin-left: 20px;">Name of customers bank</span> <span style="margin-left: 20px;">IFSC</span> <span style="margin-left: 20px;">or MICR</span>																								
an amount of Rupees <span style="margin-left: 100px;">Rs.</span>																								
Frequency <input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Quarterly <input checked="" type="checkbox"/> Half Yearly <input checked="" type="checkbox"/> Yearly <input type="checkbox"/> As and when presented <span style="margin-left: 20px;">DEBIT TYPE <input type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount</span>																								
Unique ID. <span style="margin-left: 100px;">Phone No.</span>																								
Reference 2 <span style="margin-left: 100px;">Email ID</span>																								
I Agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my accounts as per latest schedule of charges of the bank.																								
Period From <span style="margin-left: 20px;">To</span>																								
To <span style="margin-left: 20px;">Signature Primary Account holder</span> <span style="margin-left: 20px;">Signature of Account holder</span> <span style="margin-left: 20px;">Signature of Account holder</span> Or <input type="checkbox"/> Until Cancelled 1. <span style="margin-left: 20px;">Name as in bank records</span> 2. <span style="margin-left: 20px;">Name as in bank records</span> 3. <span style="margin-left: 20px;">Name as in bank records</span>																								
<b>Declaration:</b> 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. 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.																								

Acknowledgment Slip (To be filled in by the investor)

SIP through NACH / ECS / Auto Debit Form

Received from Mr./Ms./M/s.

An application for Scheme :

Plan :

Option :

Amount :

Frequency :

Date of Commencement :

Collection Centre's Stamp & Receipt  
Date and Time

## INSTRUCTIONS FOR FILLING UP SIP, STP, SWP AEP FORM

### Instructions related to National Automated Clearing House (NACH)

- Unique Mandate Registration Number is for Office use only.
- Date in DD/MM/YYYY format
- Tick to select type of action initiated (Create, Modify or Cancel)
- Tick to select type of account to be affected
- Customer's bank account number, left padded with zeros. (Maximum length - 30 Alpha Numeric Characters)
- Name of Investor's Bank
- IFSC or MICR of Investor's Bank (Maximum length - 11 Alpha Numeric Characters for IFSC & Maximum Length 9 Numeric Characters for MICR)
- Amount payable for service or maximum amount per transaction that needs to be processed, in words.
- Amount in figures, similar to the amount mentioned in words as per point 8 and above
- Tick on box to select frequency of transaction
- Tick on box to select Debit type
- Mention the Folio No.
- Under Scheme Code please mention the Scheme Name
- Registered Phone No. with STD Code if the contact number is a landline number or 10 digit mobile number & Email ID
- Mention the start and end date of transaction in DD / MM / YYYY format
- Signature of the Account Holders in the Folio
- Name as per Bank records
- NACH facility is available presently only for Systematic Investment Plan.
- NACH debit facility is offered at various banks. For a detailed list of banks please refer the website www.npci.org.in
- By signing the NACH mandate form the investor agrees to abide by the terms and conditions of NACH facility through NPCI (www.npci.org.in).
- New Investors should mandatorily give a cheque for the first transaction
- Please provide the cancelled cheque leaf of the Bank A/c no. for which NACH facility is registered
- In case of existing investor, if application is received without existing UMRN then the first UMRN registered in the folio would be considered

### Terms and Conditions For SIP, STP, SWP, AEP

- If any chosen day falls on a non business day, the next business day will be considered as the transaction date.
- For all transactions including lump sum and SIP, consolidated statements across Mutual Funds on common PAN basis will be sent once a month. The dispatch time will be before 10th of the following month. Dispatches are carried out via post as in the form of inland letters. For transactions without PAN (Micro SIPs) statements are sent by the AMCs independently as and when the transactions are carried out.
- The time taken to process shall be 3 working days from the date of request for AEP registration.
- The unit holders can choose to discontinue/cancel the SIP/STP/SWP/AEP at any point of time by submitting a written request to the nearest designated Investor Service Center. Such request for discontinuation/cancellation should be received at least 30 working days prior to the next SIP date, 7 working days prior to the next STP date, 15 working days prior to the next SWP date, 3 working days prior to the next AEP date.
- Peerless AMC reserves the right to reject any application without assigning any reason thereof and the Trustee reserves the right to change/modify the terms and conditions of SIP/STP/SWP/AEP.
- For mandatory requirements like Bank account details, Know Your Customer (KYC-KRA) and required documents please refer KIM/SID.

### Systematic Investment Plan

- New investors, who wish to enroll for SIP, should fill the Common Application Form & SIP NACH/Auto Debit/ECS form.
- Direct Debit/ECS instructions will take minimum 30 days for registration with the bank and hence the first auto debit will be carried out only after 30 days on the SIP date. The AMC reserves the right to modify the SIP registration period.
- First SIP cheque could be submitted on any business day.
- Investors want to invest in SIP, can subscribe to this facility subject to the condition that each of the SIP installments should be of the same amount (excluding the 1st installment amount).
- Initial cheque should be drawn on any bank, which is situated at & is a member of the Banker's Clearing House located at the place where the SIP Application issued & crossed 'A/c Payee Only'.
- For payments by NACH/ECS/Auto Debit mode, investors/unit holders are required to give SIP Auto Debit form to debit their bank accounts at periodic intervals & credit the subscription proceeds to Peerless Mutual Fund Bank Account.
- For change in bank mandate, the request must be submitted 30 days prior to be SIP dates.
- Returned/Dishonored Cheque/ECS Rejects will not be presented again for collection. If the first installment cheque is dishonoured, the SIP processing/registration will be carried out as per the details given on ecs mandate form.
- SIP enrollment will be discontinued in case the SIP installment is not honoured consecutively for 3 SIP installments.
- If investor has not provided the SIP frequency the default SIP frequency would be Monthly If an investor does not mention SIP start date or the SIP start date is unclear in the application form/SIP Mandate, the SIP date will by default start from the next subsequent month after meeting the minimum registration requirement of 30 working days. If an investor does not mention SIP end date or the SIP end date is not expressly mentioned/ unclear in the application form/SIP Mandate, the tenure of SIP will be treated as perpetual i.e. the end date shall be considered as December 2099. In case an investor, who has opted for Perpetual SIP, subsequently intends to discontinue the same, a written communication thereof will be required to be furnished.
- The default date will be considered as 7th of the month for each option.
- Additional SIP: If an investor wants to enroll in another scheme & continue for the existing folio, then the investor has to submit a duly filled & signed SIP form along with the first cheque (if investment is in the new scheme) & NACH/ECS/Auto Debit form.
- After completion of the tenure, in case the investor wants to continue his SIP investment for another tenure with the existing folio, then the investor has to submit a duly filled & signed SIP form & ECS Mandate Form.
- As per Prevention of Money Laundering Act 2002, it is mandatory for all investors to be KYC - KRA compliant while making an application for a subscription of any amount. Thus application for any SIP installment amount without a valid KYC - KRA compliance may be rejected.
- Transaction Charges: In accordance with SEBI circular No. Cir/IMD/DF/13/2011 dated August 22, 2011, Peerless Funds Management Co. Ltd. (AMC) /Peerless Mutual Fund will deduct Transaction Charges from the purchase/ subscription amount received from the investors investing through a valid AMFI Registered Distributor (provided the Distributor has opted to receive the Transaction Charges). Transaction Charge of Rs. 150/- (for a first time investor across mutual funds) or Rs. 100/- (for existing investor across mutual funds) per purchase/subscription of Rs. 10,000/- and above are deductible from the purchase/subscription amount and payable to the Distributor. The balance amount shall be invested. Transaction Charges in case of investments through SIP are deductible only of the total commitment of investment (i.e.) amount per SIP installment multiplied by No. of Installments amounts to Rs. 10,000/- or more, in such cases Transaction Charges shall be deducted in 3-4 installments. Transaction Charges shall not be deducted a) where the distributor of the investor has not opted to receive any Transaction Charges, b) for purchases/ subscription/total commitment amount in case of SIP of an amount less than Rs. 10,000/-, c) for transactions other than purchases/subscriptions relating to new inflows i.e. through Switches/Systematic Transfers/Dividend Transfers/ Dividend Reinvestment etc. and d) For purchases/subscriptions made directly with the Fund (i.e. not through any Distributor) e) for purchases/subscriptions routed through Stock Exchange (s). First/Sole Applicant/Guardian should indicate whether he is a first time investor across Mutual Funds or an existing investor in the appropriate box provided for this purpose. AMC/Mutual Fund will endeavour to identify the investor as first time or existing based on Permanent Account No. (PAN) at the First/Sole/Applicant/Guardian level. If the PAN details are available then First/Sole applicant/Guardian will be treated as existing investor else first time. However if an investor has not ticked any option, he will be considered as an existing investor.

A) List of Cities for Auto Debit facility Via ECS						B) List of Banks applicable for Auto Debits					
Agra	Bijapur	Gangtok	Jammu	Mysore	Sholapur	Alahabad Bank					
Ahmedabad	Bikaner	Goa	Jamnagar	Nagpur	Siliguri	Axis Bank					
Alahabad	Calicut	Gorakhpur	Jamshedpur	Nasik	Surat	Bank of Baroda					
Amritsar	Chandigarh	Gulbarga	Jodhpur	Nelloer	Thirupur	Bank of India					
Anand	Chennai	Guwahati	Kakinada	Patna	Tirunelveli	Federal Bank					
Asansol	Cochin	Gwalior	Kanpur	Pondicherry	Tirupati	ICICI Bank					
Aurangabad	Coimbatore	Haldia	Kolhapur	Pune	Trichur	IDBI Bank					
Bangalore	Cuttack	Hasan	Kolkata	Raichur	Trichy	Indusind Bank					
Bardhaman	Davangere	Hubli	Kota	Raipur	Trivandrum	Kotak Mahindra Bank					
Baroda	Dehradun	Hyderabad	Lucknow	Rajkot	Tumkur	Punjab National Bank					
Belgaum	Delhi	Imphal	Ludhiana	Ranchi	Udaipur	South Indian Bank					
Bhavnagar	Dhanbad	Indore	Madurai	Salem	Udipi	State Bank of India					
Bhilwara	Durgapur	Jabalpur	Mandya	Shillong	Varanasi	UCO Bank					
Bhopal	Erode	Jaipur	Mangalore	Shimla	Vijaywada	Union Bank of India					
Bhubaneswar	Gadag	Jalandhar	Mumbai	Shimoga	Vizag	United Bank of India					

- The cities mentioned above may be modified/updated/changed/removed at any time in future at the discretion of the AMC without assigning any reason or prior notice. If any city, bank/branch is removed, SIP (NACH/ ECS/Auto debit) instructions for investors in such cities, bank branch will be discontinued without prior notice.
- As per the enable smooth processing of the debits from your Bank A/C towards purchase of SIP units we request you to mention the CBS A/C No. wherever applicable.

### Systematic Transfer Plan / Systematic Withdrawal Plan / Automatic Encashment Plan

- All valid requests for STP/SWP/AEP forms from one scheme to the other scheme would be treated as switch-out/redemption & switch-in/purchase at the applicable NAV.
- Minimum Investment Amount in Transfer Out scheme should be as per the respective SID/Addendum.
- Units marked under Lien, Pledge or Lock-in Period in the Transfer Out Scheme will not be eligible for STP/SWP/AEP.
- All valid applications will be processed as per the applicable uniform cutoff timings on the working days as mentioned in the respective scheme SID.
- A Unit holder who has opted for STP/SWP/AEP under a specific Scheme can also redeem or switch his Units to any other eligible Scheme provided he has sufficient balance in his account on the date of such a request.
- STP will be terminated automatically in case of a Zero balance in the respective Scheme-Folio on the run-date or expiry of the enrollment period whichever is earlier.
- AEP will be terminated automatically in case of a Zero balance in the respective Scheme-Folio on the run-date.
- The only option for investors opting for AEP is Growth Option, and the frequency is monthly / quarterly / half yearly.
- AEP will be on pre-defined dates (i.e. 1st business day of every month/ quarter/half year)
- Payment under the AEP shall be subject to such appreciation being available for the respective investor on Designated Date.
- Minimum amount of AEP will be Rs.500/-. If amount is less than Rs.500/-, the AEP facility will automatically be carried forward to the next eligible date.
- Should there be a depreciation between the two NAV then such transaction will not be considered in computing the sum of minimum amount of Rs 500/- on the designated date

Mutual Fund investments are subject to market risks, read all scheme related documents carefully



Web site [www.peerlessmf.co.in](http://www.peerlessmf.co.in)



Toll Free : 1800 103 8999  
Non Toll Free : 022 61779922



[connect@peerlessmf.co.in](mailto:connect@peerlessmf.co.in)

<b>1</b>	<b>ARN CODE</b> ARN-9992	<b>Employee Unique Identification Number (EUI/N)*</b>	<b>SUB-BROKER CODE / AGENT CODE</b>	<b>DATE &amp; TIME OF RECEIPT</b>  FOR OFFICE USE ONLY																																																
<p>* I/We hereby confirm that the EUI/N 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 and the distributor has not charged any advisory fees on this transaction".</p>																																																				
<p>Sole/1 st applicant/Guardian/Authorised Signatory/POA Holder      2nd Applicant/Authorised Signatory/POA Holder      3rd Applicant/Authorised Signatory/POA Holder</p>																																																				
<b>2</b>	<b>TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS/AGENTS ONLY (Please tick any one of the below)</b>																																																			
<p><input type="checkbox"/> I confirm that I am a First Time Investor in Mutual Funds (Rs. 150/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more)      OR      <input type="checkbox"/> I am an Existing Investor in Mutual Funds (Rs. 100/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more)</p> <p>If the total commitment of investment through SIP (i.e. installment amount multiplied by No. of installments) amounts to Rs. 10,000/- or more and your AMFI Registered Distributor has chosen 'opt in' option of charging Transaction Charge, the same are deductible as applicable ((refer instruction point no 11 under general information) from the installment amount and paid to the distributor. Transaction Charges will be recovered in 3 to 4 installments. Units will be issued against the balance amount invested.</p>																																																				
<b>3</b>	<b>INVESTOR AND INVESTMENT DETAILS</b>																																																			
<p><b>NAME OF FIRST/SOLE APPLICANT</b>      <input type="checkbox"/> Mr.   <input type="checkbox"/> Ms.   <input type="checkbox"/> M/s.</p>																																																				
<p>PAN/PERN #      <input type="checkbox"/> KYC Proof #</p>																																																				
<p><b>Father's Name/Name of Guardian</b> (in case of Minor) / <b>Contact Person</b> (in case of non individual applicant)      <input type="checkbox"/> Mr.   <input type="checkbox"/> Ms.</p>																																																				
<p><b>Occupation</b> (of first/sole Applicant)      <input type="checkbox"/> Business   <input type="checkbox"/> Professional   <input type="checkbox"/> House Wife   <input type="checkbox"/> Agriculture   <input type="checkbox"/> Service   <input type="checkbox"/> Student   <input type="checkbox"/> Retired   <input type="checkbox"/> Others</p>																																																				
<p><b>Folio/Application No.</b>      Existing Investors please mention Folio No. New applicants please mention the application form No.</p>																																																				
<p><b>Scheme</b>      Peerless</p>																																																				
<p><b>Plan</b>      <input type="checkbox"/> Regular   <input type="checkbox"/> Direct</p>																																																				
<p><b>Option</b>      <input type="checkbox"/> Growth   <input type="checkbox"/> Dividend      <b>Sub Option</b>      <input type="checkbox"/> Dividend Payout   <input type="checkbox"/> Dividend Reinvestment (default)</p>																																																				
<p>In case of any ambiguity / incomplete information, the default plan / option / sub-option will be applicable as per the scheme's Key Information Memorandum, Scheme Information Document &amp; Statement of Additional Information . Please see the Plan, Option and Dividend policy details in the SID/KIM before filling in the above details.</p>																																																				
<p><b>Dividend Frequency</b>      <input type="checkbox"/> Normal      <input type="checkbox"/> Monthly      <input type="checkbox"/> Quarterly      <input type="checkbox"/> Half-Yearly      <input type="checkbox"/> Yearly</p>																																																				
<p>Please refer instructions page for SIP, STP, SWP, AEP</p>																																																				
<b>4</b>	<b>*FATCA INFORMATION/ FOREIGN TAX LAWS</b> (for Individual including Sole Proprietor) (In case you have already filled the Fatca declaration in Common Application Form or earlier then no need to fill this part) (For Non-individual, mandatory to fill up UBO form) (Refer instruction)																																																			
<p>The below information is required for all applicant(s)/ guardian</p>																																																				
<p><b>Address Type:</b>      <input type="checkbox"/> Residential or Business   <input type="checkbox"/> Residential   <input type="checkbox"/> Business   <input type="checkbox"/> Registered Office</p> <p>(Address of tax residence would be taken as available in KRA database. In case of any changes please approach KRA &amp; notify the changes)</p>																																																				
<p><b>Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? (to be filled mandatorily)</b>      <input type="checkbox"/> Yes   <input type="checkbox"/> No</p>																																																				
<p>If Yes, please provide the following information [mandatory] Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.</p>																																																				
<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>Category</th> <th>First Applicant (Including Minor)</th> <th>Second Applicant/ Guardian</th> <th>Third Applicant</th> </tr> </thead> <tbody> <tr> <td>Place/ City of Birth</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Country of Birth</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Country of Tax Residency 1 ^</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Tax Identification No *</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Identification Type (TIN or other, please specify)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Country of Tax Residency 2 ^</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Tax Identification No *</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Identification Type (TIN or other, please specify)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Country of Tax Residency 3 ^</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Tax Identification No *</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Identification Type (TIN or other, please specify)</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>					Category	First Applicant (Including Minor)	Second Applicant/ Guardian	Third Applicant	Place/ City of Birth				Country of Birth				Country of Tax Residency 1 ^				Tax Identification No *				Identification Type (TIN or other, please specify)				Country of Tax Residency 2 ^				Tax Identification No *				Identification Type (TIN or other, please specify)				Country of Tax Residency 3 ^				Tax Identification No *				Identification Type (TIN or other, please specify)			
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<p>I / We have understood the information requirements of this form (read along with the FATCA &amp; 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 &amp; CRS Terms and Conditions and hereby accept the same.</p> <p>^ To also include USA, where the individual is a citizen/green card holder of the USA.</p> <p>* In case Tax Identification Number is not available, kindly provide its functional equivalent.</p>																																																				

# Please attach proof. Refer instructions page point XII - PAN/PERN and KYC

Acknowledgement Slip (To be filled in by the investor)

SIP / SWP / STP / AEP

Peerless  
MUTUAL FUND

Received from Mr./Ms./M/s. \_\_\_\_\_

An application for Scheme : \_\_\_\_\_

Amount : \_\_\_\_\_

Frequency : \_\_\_\_\_

Plan : \_\_\_\_\_

Option : \_\_\_\_\_

Date of Commencement : \_\_\_\_\_

Collection Centre's Stamp & Receipt  
Date and TimeWeb site [www.peerlessmf.co.in](http://www.peerlessmf.co.in)Toll Free : 1800 103 8999  
Non Toll Free : 022 61779922[connect@peerlessmf.co.in](mailto:connect@peerlessmf.co.in)

<b>5 SYSTEMATIC INVESTMENT PLAN (SIP THROUGH POST DATED CHEQUES)</b> (Investor subscribing to SIP through ECS/Direct Debt must fill up the SIP Auto Debit)																	
<b>Name of the Scheme/Plan/Option/Sub Option</b>																	
<b>Frequency</b>	<input type="checkbox"/> Fortnightly Every Alternate Wednesday				<input type="checkbox"/> Monthly				<input type="checkbox"/> Quarterly				<input type="checkbox"/> Half Yearly				
<b>SIP Date</b>	<input type="checkbox"/> 1st <input type="checkbox"/> 7th <input type="checkbox"/> 10th <input type="checkbox"/> 15th <input type="checkbox"/> 20th <input type="checkbox"/> 25th				<b>SIP Period</b> SIP from M M Y Y SIP to M M Y Y												
<b>Cheque(s) Details</b>		<b>No. of Cheque(s)</b>			<b>Cheque(s) No.</b>					<b>SIP Amount (in figures)</b>							
<b>Cheque(s) drawn on</b>		Name of Bank & Branch & City															
New Investors are requested to fill in the Common Application Form too																	
<b>6 SYSTEMATIC TRANSFER PLAN (STP)</b> (Please note that the STP will be registered within 7 working days from the date of receipt of request)																	
<b>From Scheme</b>				<b>Plan</b>		<b>Option /Sub Option</b>			<b>To Scheme</b>				<b>Plan</b>		<b>Option</b>		
<b>Frequency</b>	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly		<input type="checkbox"/> Fortnightly		<input type="checkbox"/> Monthly		<b>STP Period</b>										
<b>STP Date</b>	<input type="checkbox"/> All Business Days <input type="checkbox"/> Every Wednesday		<input type="checkbox"/> Every Alternate Wednesday		<input type="checkbox"/> 1st <input type="checkbox"/> 7th <input type="checkbox"/> 10th <input type="checkbox"/> 15th <input type="checkbox"/> 20th <input type="checkbox"/> 25th		<b>STP from</b> M M Y Y				<b>STP to</b> M M Y Y						
<b>Amount Per Installment (Rs)</b>								<b>No of Installments</b>									
<b>7 SYSTEMATIC WITHDRAWAL PLAN (SWP)</b>																	
<b>Name of the Scheme/Plan/Option/Sub Option</b>																	
<b>Frequency</b>				<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly		<b>SWP from</b>				M M Y Y		<b>SWP to</b>				M M Y Y	
<b>Amount per Withdrawal (Rs)</b>								<b>No of Installments</b>									
Please see the Plans & Options and Dividend policy details in the Scheme Information Document before filling in the above details.																	
<b>8 AUTOMATIC ENCASHMENT PLAN (AEP) - Available only for Growth Option</b>																	
<b>Name of the Scheme/Plan/Option/Sub Option</b>																	
<b>Frequency</b>				<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half Yearly		<b>AEP date : 1st Business Day</b>				<b>(Minimum Rs.500/- for AEP option)</b>							
<b>9 DECLARATION AND SIGNATURES</b>																	
<p>I/We have read and understood the contents of the Scheme Information Document and Statement of Additional Information of the Scheme(s). I/We hereby apply for units of the scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the Scheme and to other statutory requirements of SEBI, AMFI, Prevention of Money Laundering Act, 2002 and such other regulations as may be applicable from time to time. I/We confirm to have understood the investment objective, investment pattern and risk factors applicable to Plan/Options under the Scheme(s). I/We agree that in case my/our investment in the Scheme is equal to or more than 25% of the corpus of the scheme, then Peerless Funds Management Co Ltd, has full right to refund the excess to me/us to bring my/our investment below 25%. I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making these investments. I/We undertake that these investments are on my/our own account and in event Know Your Customer process is not completed by me/us to the satisfaction of the Mutual Fund, I/ We hereby authorise the Mutual Fund to redeem the funds invested in the scheme, in favour of the applicant at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that maybe required by the law. I/We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulations or any other applicable law enacted by the Government of India or any Statutory Authority. I/We hereby declare that the particulars above are correct. I/We hereby, further agree that the Fund can directly credit all the dividend payouts and redemption amount to my bank details given above NRIs only: I/We confirm that I am/We are Non-resident of Indian Nationality/ Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through approved banking channels or from my/our Non-resident External/Ordinary Account/FCNR/NRSR Account. The ARN holder has disclosed to me/us all the commission (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.</p>																	
Sole/1st applicant/Guardian/Authorised Signatory/POA Holder					2nd Applicant/Authorised Signatory/POA Holder					3rd Applicant/Authorised Signatory/POA Holder							



**Terms and Conditions For SIP, STP, SWP, AEP**

1. If any chosen day falls on a non business day, the next business day will be considered as the transaction date.
2. For all transactions including lump sum and SIP, consolidated statements across Mutual Funds on common PAN basis will be sent once a month. The dispatch time will be before 10th of the following month. Dispatches are carried out via post as in the form of inland letters. For transactions without PAN (Micro SIPs) statements are sent by the AMCs independently as and when the transactions are carried out.
3. The time taken to process shall be 3 working days from the date of request for AEP registration.
4. The unit holders can choose to discontinue/cancel the SIP/STP/SWP/AEP at any point of time by submitting a written request to the nearest designated Investor Service Center. Such request for discontinuation/cancellation should be received at least 30 working days prior to the next SIP date, 7 working days prior to the next STP date, 15 working days prior to the next SWP date, 3 working days prior to the next AEP date.
5. Peerless AMC reserves the right to reject any application without assigning any reason thereof and the Trustee reserves the right to change/modify the terms and conditions of SIP/STP/SWP/AEP.
6. For mandatory requirements like Bank account details, Know Your Customer (KYC) and required documents please refer KIM/SID.

**Systematic Investment Plan**

1. New investors, who wish to enroll for SIP, should fill the Common Application Form & SIP Auto Debit/ECS form.
2. Direct Debit/ECS instructions will take minimum 30 days for registration with the bank and hence the first auto debit will be carried out only after 30 days on the SIP date. The AMC reserves the right to modify the SIP registration period.
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- 16.

A) List of Cities for Auto Debit facility Via ECS						B) List of Banks applicable for Auto Debits	
Agra	Bijapur	Gangtok	Jammu	Mysore	Sholapur	Allahabad Bank	
Ahmedabad	Bikaner	Goa	Jamnagar	Nagpur	Siliguri	Axis Bank	
Allahabad	Calicut	Gorakhpur	Jamshedpur	Nasik	Surat	Bank of Baroda	
Amritsar	Chandigarh	Gulbarga	Jodhpur	Nellor	Thirupur	Bank of India	
Anand	Chennai	Guwahati	Kakinada	Patna	Tirunelveli	Federal Bank	
Asansol	Cochin	Gwalior	Kanpur	Pondicherry	Tirupati	ICICI Bank	
Aurangabad	Coimbatore	Haldia	Kolhapur	Pune	Trichur	IDBI Bank	
Bangalore	Cuttack	Hasan	Kolkata	Raichur	Trichy	Indusind Bank	
Bardhaman	Davangere	Hubli	Kota	Raipur	Trivandrum	Kotak Mahindra Bank	
Baroda	Dehradun	Hyderabad	Lucknow	Rajkot	Tumkur	Punjab National Bank	
Belgaum	Delhi	Imphal	Ludhiana	Ranchi	Udaipur	South Indian Bank	
Bhavnagar	Dhanbad	Indore	Madurai	Salem	Udipi	State Bank of India	
Bhilwara	Durgapur	Jabalpur	Mandya	Shillong	Varanasi	UCO Bank	
Bhopal	Erode	Jaipur	Mangalore	Shimla	Vijaywada	Union Bank of India	
Bhubaneshwar	Gadag	Jalandhar	Mumbai	Shimoga	Vizag	United Bank of India	

17. The cities mentioned above may be modified/updated/changed/removed at any time in future at the discretion of the AMC without assigning any reason or prior notice. If any city, bank/branch is removed, SIP (ECS/Auto debit) instructions for investors in such cities, bank branch will be discontinued without prior notice.
18. As per the enable smooth processing of the debits from your Bank A/C towards purchase of SIP units we request you to mention the CBS A/C No. wherever applicable.

**Systematic Transfer Plan / Systematic Withdrawal Plan / Automatic Encashment Plan**

1. All valid requests for STP/SWP/AEP forms from one scheme to the other scheme would be treated as switch-out/redemption & switch-in/purchase at the applicable NAV.
2. Minimum Investment Amount in Transfer Out scheme should be as per the respective SID/Addendum.
3. Units marked under Lien, Pledge or Lock-in Period in the Transfer Out Scheme will not be eligible for STP/SWP/AEP.
4. All valid applications will be processed as per the applicable uniform cutoff timings on the working days as mentioned in the respective scheme SID.
5. A Unit holder who has opted for STP/SWP/AEP under a specific Scheme can also redeem or switch his Units to any other eligible Scheme provided he has sufficient balance in his account on the date of such a request.
6. STP will be terminated automatically in case of a Zero balance in the respective Scheme-Folio on the run-date or expiry of the enrollment period whichever is earlier.
7. AEP will be terminated automatically in case of a Zero balance in the respective Scheme-Folio on the run-date.
8. The only option for investors opting for AEP is Growth Option, and the frequency is monthly / quarterly / half yearly.
9. AEP will be on pre-defined dates (i.e. 1st business day of every month/ quarter/half year)
10. Payment under the AEP shall be subject to such appreciation being available for the respective investor on Designated Date.
11. Minimum amount of AEP will be Rs.500/-. If amount is less than Rs.500/-, the AEP facility will automatically be carried forward to the next eligible date.
12. Should there be a depreciation between the two NAV then such transaction will not be considered in computing the sum of minimum amount of Rs 500/- on the designated date



# Details of Ultimate Beneficial Owner Declaration including additional FATCA and CRS information (Mandatory for Non-Individual Applicants / Investor)(Refer instructions)

**Peerless**  
**MUTUAL FUND**

## APPLICANT DETAILS

NAME OF THE ENTITY

TYPE OF ADDRESS GIVEN AT KRA ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office

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

CUSTOMER ID / FOLIO NO

PAN

DATE OF INCORPORATION

CITY OF INCORPORATION

COUNTRY OF INCORPORATION

ENTITY CONSTITUTION TYPE

Please tick as appropriate

☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ AOP /BOI  
☐ Trust & Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ Others specify

## PLEASE TICK THE APPLICABLE TAX RESIDENT DECLARATION

1. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID Number below)

COUNTRY *	TAX IDENTIFICATION NUMBER *	IDENTIFICATION TYPE (TIN or other, please specify)

\* In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

## FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

### PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial Institution <sup>6</sup> <input type="checkbox"/> or Direct reporting NFE <sup>7</sup> <input type="checkbox"/> (please tick as appropriate)	<p>GIIN <input type="text"/></p> <p><b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below</p> <p>Name of the sponsoring entity <input type="text"/></p>
<p>GIIN not available (please tick as applicable) <input type="checkbox"/> Applied for</p> <p>if the entity is a financial institution, <input type="checkbox"/> Not required to apply for - please specify 2 digits sub - category <sup>10</sup></p> <p><input type="checkbox"/> Not obtained - Non - participating FI</p>	

### PART B (Please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs)

1. Is the Entity a publicly traded company <sup>1</sup> (that is, a company whose shares are regularly traded on an established securities market)	<p>Yes <input type="checkbox"/> (if yes, please specify any one stock exchange on which the stock is regularly traded)</p> <p>Name of stock exchange <input type="text"/></p>
2. Is the Entity a related entity <sup>2</sup> of a publicly traded company (a company whose shares are regularly traded on an established securities market)	<p>Yes <input type="checkbox"/> (if yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</p> <p>Name of listed company <input type="text"/></p> <p>Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company</p> <p>Name of stock exchange <input type="text"/></p>
3. Is the Entity an active <sup>3</sup> NFE	<p>Yes <input type="checkbox"/> (if yes, please fill UBO declaration in the next section)</p> <p>Name of Business <input type="text"/></p> <p>Please specify the sub-category of Active NFE <input type="checkbox"/> (Mention code - refer 2c of Part D)</p>
4. Is the Entity a passive <sup>4</sup> NFE	<p>Yes <input type="checkbox"/> (if yes, please fill UBO declaration in the next section)</p> <p>Nature of business <input type="text"/></p>

Refer 2a of Part D | <sup>2</sup>Refer 2b of Part D | <sup>3</sup>Refer 2c of Part D | <sup>4</sup>Refer 3(ii) of Part D | <sup>6</sup>Refer 1 of Part D | <sup>7</sup>Refer 3(vii) of Part D | <sup>10</sup>Refer 1A of Part D



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# Ultimate Beneficial Owner Declaration (Mandatory for Non-Individual Applicants / Investor)

**Peerless**  
MUTUAL FUND

**CATEGORY** (Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company  
☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust  
☐ Others (Please specify \_\_\_\_\_ )

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).  
Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person Country - Tax Residency * Tax ID No. - Or functional equivalent for each country %	Tax ID Type - TIN or Other, please specify Beneficial Interest - in percentage Type Code <sup>11</sup> - of Controlling person	Address - Include State, Country, PIN, / ZIP Code & Contact Details Address Type
1. Name _____ Country _____ Tax ID No. % _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	Address _____ ZIP: _____ State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. % _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	Address _____ ZIP: _____ State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. % _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	Address _____ ZIP: _____ State: _____ Country: _____

If passive NFE, please provide below additional details.

(Please attach additional sheets if necessary)

PAN / Any other Identification Number (PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence, NREGA Job Card, Others) City of Birth - Country of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male / Female / Other
1. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB _____ D D / M M / Y Y Y Y Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
2. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB _____ D D / M M / Y Y Y Y Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
3. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB _____ D D / M M / Y Y Y Y Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others

Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any other country other than India

\* To include U.S. where controlling person is a U.S. citizen or green card holder.

% In case Tax Identification Number is not available, kindly provide functional equivalent.

<sup>4</sup>Refer 3(iii) of Part D | <sup>5</sup>Refer 3(vi) of Part D <sup>11</sup>Refer 3(iv) of Part D

## FATCA - CRS TERMS AND CONDITIONS

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.

If you have any questions about your tax residency, please contact your tax advisor, if any controlling person of the entity is US citizen or resident or green card holder, please include United States in the foreign country information field along with the 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.

## CERTIFICATION

I / We have understood the information requirements of the 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 & Seal :

Name: \_\_\_\_\_ Place \_\_\_\_\_  
Designation: \_\_\_\_\_ Date \_\_\_\_\_ D D M M Y Y Y Y



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## FATCA & CRS Terms & Conditions for Individual Accounts including Sole Proprietor

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 / appointment 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, 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"> <li>Self-certification 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); <b>AND</b></li> <li>Any one of the following documents; <ul style="list-style-type: none"> <li>Certified Copy of "Certificate of Loss of Nationality</li> <li><b>or</b> Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship;</li> <li><b>or</b> Reason the customer did not obtain U.S. citizenship at birth</li> </ul> </li> </ol>
Residence / mailing address in a country other than India	<ol style="list-style-type: none"> <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; <b>and</b></li> <li>Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b>If no Indian telephone number is provided</b></p> <ol style="list-style-type: none"> <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; <b>and</b></li> <li>Documentary evidence (refer list below)</li> </ol> <p><b>If Indian telephone number is provided along with a foreign country telephone number</b></p> <ol style="list-style-type: none"> <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>
Telephone number in a country other than India	<ol style="list-style-type: none"> <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; <b>and</b></li> <li>Documentary evidence (refer list below)</li> </ol>

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorized government body\*
- 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.



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**1 Financial Institution (FI) - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.**

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that holds a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of -
  - (i) The three financial years preceding the year in which determination is made; or
  - (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:
  - That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    - (i) Trading in money market instruments, (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange, exchange, interest rate, and index instruments; transferable securities; or commodity futures trading; or
    - (ii) Individual or collective portfolio management; or
    - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or

- The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- (ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

**F1 not required to apply for GIIN:****A. Reasons why F1 not required to apply for GIIN:**

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

**2. Non-Financial entity (NFE) - Foreign entity that is not a financial institution**

Types of NFEs that are regarded as excluded NFE are:

**a. Publicly traded company (listed company)**

A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

**b. Related entity of a publicly traded company**

The NFE is a related entity of an entity of which is regularly traded on an established securities market;

**c. Active NFE : (is any one of the following):**

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;



- 07 Any NFE that fulfills all of the following requirements:
- It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;
  - It is exempt from income tax in India;
  - It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and
- The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.
- Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-
- (I) an Investor Protection Fund referred to in clause (23EA);
  - (II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and
  - (III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

### 3. Other definitions

#### (i) Related entity

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

#### (ii) Passive NFE

The term passive NFE means

- (i) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or
- (ii) an investment entity defined in clause (b) of these instructions
- (iii) a withholding foreign partnership or withholding foreign trust;

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

#### (iii) Passive income

The term passive income includes income by way of :

- (1) Dividends,
- (2) Interest
- (3) Income equivalent to interest,
- (4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE
- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

#### (iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

#### (A) Controlling Person Type:

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement- Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-other equivalent
14	Unknown



**(v) Specified U.S. person - A U.S. person other than the following:**

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (iii) the United States or any wholly owned agency or instrumentality thereof;
- (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

**(vi) Owner documented FFI**

An FFI meets the following requirements:

- (A) The FFI is an FFI solely because it is an investment entity;
- (B) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (C) The FFI does not maintain a financial account for any non participating FFI;
- (D) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (E) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

**(vii) Direct reporting NFE**

A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS

**(viii) Exemption code for U.S. persons**

Code	Sub-category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan



Third Party Payment Declaration (Should be enclosed with each payment/SIP Enrolment)

Payments by : Parents/Grand Parents/Related Persons other than the Registered Guardian/Custodian /Employer

Maximum Value : Not Exceeding Rs. 50,000/- (each regular purchase or per SIP installment)

Application and Payment Details (All details below are mandatory, including relationship, PAN, KYC)

Folio No.											Application Form										
Beneficiary Name																					
Investment Amount (Rs.)																					
Payment Cheque No.										Dated											
Cheque Drawn on Bank																					
Cheque Drawn on A/C No.																					
Declaration and Signatures																					
RELATIONSHIP OF THIRD PARTY WITH THE BENEFICIAL INVESTOR <small>(Refer Instruction No. 3) (Please • (*) as applicable)</small>																					
Status of the Beneficial Investor		Minor				FII				Employee (s)											
						★ Client															
Relationship of Third Party with the Beneficial Investor		★ Parent ★ Grand Parent ★ Related Persons _____ (Please specify)				Custodian SEBI Registration No. of Custodian Registration Valid Till _____				Employer											
Declaration by Third Party		I/We declare that the payment made on behalf of minor is in consideration of natural love and affection or as a gift.				I/We declare that the payment made on behalf of FII/Client and the Source of this payment is from funds provided to us by FII/Client				I/We declare that the payment made on behalf of employee(s) under Systematic Investment Plans through Payroll Deductions.											
Income tax PAN																					
KYC Acknowledgement					<input type="checkbox"/> Attached (Mandatory for any amount)					<input type="checkbox"/> Attached (Mandatory for any amount)											
Signature																					
Contact No.																					

**Banker's Certificate in case of Demand Draft/Pay Order/Any Other Pre-Funded Instrument issued against cash less than Rs. 50000/- only**
**To whomsoever it may concern**

We hereby confirm the following details regarding instrument issued by us:

Instrument Details	
Instrument Type	<input type="checkbox"/> Demand Draft <input type="checkbox"/> Pay Order/Banker's Cheque
Instrument Number	Date
Instrument Amount (Rs.)	
In Favour of/ Favouring	
Payable At	

Request received from:

Name of the Requestor
Address of the Requestor
PAN (if available)

Branch Manager/Declarant (s):

Signature: .....

Name: .....

Address: .....

City: ..... State: ..... Pin: ..... Bank & Branch Seal

Country: ..... Contact No. ....

**Banker's Certificate in case of Demand Draft/Pay Order/Any Other Pre-Funded Instrument (when investor has bank account in issuing bank)**
**To whomsoever it may concern**

We hereby confirm the following details regarding instrument issued by us:

Instrument Type	<input type="checkbox"/> Demand Draft <input type="checkbox"/> Pay Order/Banker's Cheque
Instrument Number	Date
Instrument Amount (Rs.)	
In Favour of/ Favouring	
Payable At	

Details of Bank Account Debited for issuing the instrument:

Bank Name	
Bank Account Number	Account Type
Account Holder Details	Name
1.	Income Tax PAN
2.	
3.	

If the issuing Bank Branch is outside India:

We further declare that we are registered as Bank/branch as mentioned below:

Under the Regulator	(Name of the Regulator)
In the Country	(Country Name)
Registration No.	(Registration No.)

We confirm having carried out necessary Customer Due Diligence with regard to the Beneficiary and to the source of the funds received from him, as per the standards of Anti Money Laundering laws and other applicable relevant laws in our country.

Branch Manager/Declarant (s):

Signature: .....

Name: .....

Address: .....

City: ..... State: ..... Pin: ..... Bank & Branch Seal

Country: ..... Contact No. ....

Note: Bankers' certificate suggested above is recommendatory in nature, as there may be existing Bank Letters/ Certificates/Declarations, which will confirm to the spirit of the requirements, if all the required details are mentioned in the certificate.