

COMMON APPLICATION FORM - Debt Schemes*



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.

*Peerless Liquid Fund, Peerless Ultra Short Term Fund, Peerless Short Term Fund

PRODUCT LABELLING

NAME OF THE SCHEME	THESE PRODUCTS ARE SUITABLE FOR INVESTORS WHO ARE SEEKING*	RISKOMETER
Peerless Liquid Fund (An Open Ended Liquid Scheme)	Income over short term. Investment in debt and money market instruments.	LOW HIGH Investors understand that their principal will be at low risk
Peerless Ultra Short Term Fund (An Open Ended Debt Scheme)	Income over short term. Investment in money market and short term debt instruments.	Moderate Made app
Peerless Short Term Fund (An Open Ended Debt Scheme)	Income over short to medium term. Investment in debt and money market instruments.	LOW HIGH Investors understand that their principal will be at moderately low risk

^{*}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 FUND

Please refer to the instructions while filling the Application	n Form. Tick 🗹 whichever is applicable.
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1	ARN C	ODE	Er	nployee	e Uniqu	e Indent	ificatio	n Numl	er (EUI	N)*			SUB-E	ROKER	R CODE	/ AGEN	IT COE	DΕ		D	ATE &	TIME OF	RECEI	PT
	ARN-9992																				FOR O	FFICE U	SE ONL	Υ
	*I/We hereby confirm that th distributor or notwithstanding	e EUIN box has been intent g the advice of in-appropriat	ionally left bla eness, if any,	nk by n provide	ne/us as	s this is e emplo	an "exe yee/rela	cution- ationsh	only" tra	ansacti iger/sa	on with les per	out any son of t	interacthe distr	tion or a	advice b and the d	y the e istribut	mployor or has	ee/relat	ionship arged a	mana ny adv	ger/sale	es persor es on thi	of the	above action".
2	Sole /1st Applicant	Guardian/Authorised Signator		THR	OUG	H DIS			t/Author	_				tick a	ny one				uthorise	d Signa	itory/PO	A Holder		
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	purchase/subscription amour	t and payable to the distribut	tor, Units will b	e issued	d agains	st the bal	lance ar	mount ii	nvested	(refer (General	Inform	ation Po	int No.	11)									
3	EXISTING INVESTO		f you have e	existin	g folio	please	fill in	sectio	ns 3,6	,9,11,1	2 and	17)												
	Unit Holding Option	_	emat Mode				sical I								lio Nu									
4	DEMAT ACCOUNT I	DETAILS (Please ensur compulsory, i	re that the seq if demat mode	uence o	of name: d above	s as mer e.)	ntioned	in the a	pplicati	on forr	n matcl	nes with	h that, o	f the ac	count he	ld in de	eposito	ry parti	cipant.	Demat	Accou	nt details	are	
	NSDL Depo	sitory Participant Name											Encl	osures	6									
	CDSL DP ID	Number					T			1				Client	Master	List			De	elivery	Instru	ction SI	ip	
	Bene	ficiary Account Number											П	Transa	action C	um H	oldino	ı State	ment					
5	NEW INVESTOR INF		lled in Block	Letters	s pleas	se leave	one b	ox bla	nk het	veen t	NO WO	rds)						,						
J		•	iled in block	Letters						veen t	WO WO	ius)												
	NAME OF FIRST/SOL	EAPPLICANT			Ш	Mr.	Ms	• 📖	M/s.															
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	PAN/PERN #						<u>"</u>		C Proo						f Incorp		n				141	141	'	
	Father's Name/Name	of Guardian (in case	of Minor) /	Cont	act Pe	erson	(ın ca	se of	non in	idividi	ual ap	plicar	nt)	Mr.	Ш	VIS.								
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	PAN/PERN #						L	KYO	C Proo	f#		Rela	itionsh	p with	Minor/	Desigr	nation			IV	AND	ATORY		
	Mailing Address of Fi	rst/Sole Applicant ((PO Box ac	ddress	is no	t suffic	cient)																	
	City		Sta	ate						Cou	ntry				Pin C	ode								
	Overseas Address (Mand "All Non Individual Investo						t. Inve	stors r	esidin	g over	seas a	and wi	th PO I	Box ad	ldress p	lease	provi	de you	ır India	an add	dress)			
	Overseas Address																							
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6	FIRST/SOLE APPLICA	ANT OTHER DETAILS	S													Jour	i.i. y							
Ť	Telephone												Mob	ile										
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	Occupation	Dusiness 5	Duefeesi						_ Ai					-									,,	
	(of first/sole Applicant)	Business Resident Individ	Profession			louse \			Agri					Stu				etired		Others	ıst 🗌			
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	Gross Annual Income	☐ Below 1 Lac ☐ 5							worth						1101	ттор	arara	DIC (11				Othero		
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	Politically Exposed Perso	on (PEP) Status (Also app	plicable for auti	horised s	signatori	ies/ Prom	noters/ K	arta/ Tr	ustee/ W	/hole tin	ne Direc	ctors)		am Pl	EP 🗆	Lam	Rela	ted to	PEP		Not A	pplicat	ıle	
	Non - Individual Investors	. ,			-										nger Se									
									Gar	ning /	Gam	bling /	/ Lotte	ry / Ca	asino S	ervice	es	Non	e of th	e Ab	ove			
	# Please attach proof. Ref	er instructions page poir	nt XII - PAN/	PERN	and K	YC																		
	Acknowledgement Sli	p (To be filled in by the	e investor)																				Pee	rless
	Received from Mr./Ms./	M/s.																Colle				amp &	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	
	An application for Schei	me:				Plan:					(Option	n:							Date	and T	ime		
	Cheque/DD No. :		Dated :			Amou	ınt (Rs	s.)																
	Drawn on Bank and Bra																							
	Please note : All Purcha		lisation of 0	Cheau	es/DD).																		
				- 40																				





COMMON APPLICATION FORM



7	JOINT APPLICANT	DETAIL	_S																										
а	NAME OF SECOND A	PPLICAN	г		Mr.	☐ Ms.																							
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b	NAME OF THIRD APPI	LICANT				Mr.	☐ Ms	S.					_																
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	PAN/PERN #									+-	KY	C Proo	f #		Dat	te of B	irth/Da	te of	Incor	porat	ion				D	IVI	M	Υ	Υ
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		□ 1 - 8	5 Lacs	<u> </u>	- 25	Lacs	>1 Cr	ore				cable for au			. ,			ee / Wh	ole time	Directo	ors)				ed to	PEP	☐ No	t Appli	cable
	Father's Name																												
	Occupation (of first/sole Applicant)		Bus	iness		Profe	essiona	al	П	use V	Vife		Agric	ulture		Service	e [Stu	ident			Ret	ired		Othe	ers			
8	Power of Attorney	(POA)																											
	NAME OF POA				∕Ir.	☐ Ms	. 🗆 ı	M/s.																					
																								Т		Т			T
	PAN/PERN #									KYC	Proc	of #								Г)ate	of B	irth			D	M N	1 Y	
9	*FATCA INFORMA	TION/ F	OREIG	N TAX	(LA	WS (F	or Indiv	idual					(For l	Von-in	dividu	al ma	ndator	v to f	ill un								101		
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Web site www.peerlessmf.co.in





COMMON APPLICATION FORM



10									
	*BANK ACCOUNT DETAILS (Please attach co	py or cancelled ch	eque) For registeri	ing Multiple Bank	Accounts please	fill up "Registration of	Multiple Bank A	ccount" Form	
	Name of the Bank :					Branch:			
	Account Type (Please ✓) SB Curre	nt NRO	NRE FCNR	Account Nu	mher ·				
	· · · · · · · · · · · · · · · · · · ·	iii Tiito	THILE TOTAL	Account Nu			D'		
	Branch Address :				City:		Pin:		
	IFSC Code :				MIC	R Code :			
	AMC reserves the right to use any mode of payment deemed appro	priate. I/We understand	that AMC shall not be re	esponsible if transacti	on through DC/RTGS/f	NEFT could not be carried or	it because of incomp	olete or incorrect info	rmation.
11	*INVESTMENT DETAILS I/We would like to	nvest in the follo	owina scheme o	f Peerless Mut	ual Fund Schei	ne :			
	Scheme :Peerless		3	Plan	Regular		rect		
	Ocheme ii coness			1 Idii	regulai				
	Option Growth Dividend			Sub-Option	Dividend F	Payout Di	vidend Reinve	stment (default	·)
	In case of any ambiguity / incomplete information, the	default plan / optio	n / sub-option will t	be applicable as i	per the scheme's k	Key Information Memor	andum, Scheme	e Information Do	cument &
	Statement of Additional Information. Please see the F	lan, Option and Div	ridend policy details	s in the SID/KIM	pefore filling in the	above details.			
	Dividend Frequency Daily		Weekly		Mo	nthly		Quarterly	
12	*PAYMENT DETAILS (In case of DD, please	nrovide us spe	cific declaration	1					
14					Othere			Diagon annois	
	Mode of Payment Cheque	DD	Fund	d Transfer	Others			Please specif	У
	Cheque/DD No.					Date D D	M M	YY	YY
	Gross Amount (Rs)		D Charges (Ba)			Net Amount (Rs)			
	Gross Amount (RS)	U	D Charges (Rs)			Net Amount (RS)			
	Drawn on Bank & Branch				Account	Type SB	Current N	NRO 🗌 NRE	FCNR
13	SYSTEMATIC INVESTMENT PLAN (SIP) P	YMENT TYPE	S (Please selec	t anv one opti	on)				
	SIP through Post Dated Cheques (Please fill & su					se fill up enclosed SIP	Auto Dobit (ECS	C) Form & submit	with this form)
	on unought ost bated offeques (Flease IIII & st	billit with this attac		oir tillough Auto	Debit (LCG) (Fleat	se iiii up encloseu oii-	Auto Debit (LCC	o) i Oilli & Subilli	. with this form)
14	NOMINATION DETAILS (Please refer to Inst	uctions page, po	int no VII) In case o	of existing investor, i	nomination details me	entioned in the below table	will replace the ex	isting details regist	ered in the folio
	Nomination Required YES	0							
	Pela		e of Birth	Guardian Nam		tion Sign of	Sign of	Sic	ın of
			Minor (in c	case Nominee is	Minor) (%) Guardian	Nominee		cants
								1st A	
								2nd	App.
								2110	Αрр.
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	Please note that if you do not furnish any nomi	nation dotails, it is	s doomed to be a	secumed that w	ou do not wish to	nominato anyono			
		· · · · · · · · · · · · · · · · · · ·		assumed that y	od do not wish to	Tiominate arryone.			
15	HOW DO YOU WISH TO RECEIVE THE DO	CUMENT(S) (P	lease[v])						
	I/We wish to receive the following documents via	email in lieu of p	hysical documen	t (s)	I/We wish to re	eceive the Account S	tatement in (a	iny one)	
	Annual Reports Account Statemer	t Othe	r Statutory Inform	nation	English (D	efault option)	Bengali	Malaya	lam
16	DOCUMENTS ENCLOSED (Please ✓)								
- '	·					Mamarand			
	Decelution/Authorization to invest		ad Signatoriae wi	ith Snaciman Si	anaturee		um & Articles o	of Association	
	Resolution/Authorisation to invest	List of Authoriz	ed Signatories wi	ith Specimen Si	gnatures	Wemorand	um & Articles o	of Association	
	Resolution/Authorisation to invest Trust Deed Bye-laws	Partnership De	_	·	gnatures uditor Certificate	Notarised I		of Association Copy of cancel	led cheque
			ed	·	uditor Certificate	Notarised I	POA 🗌		•
17	Trust Deed Bye-laws Copy of PAN Card KYC	Partnership De	ed	Overseas A	uditor Certificate	Notarised I	POA 🗌	Copy of cancel	•
17	Trust Deed Bye-laws	Partnership De	ed	Overseas A	uditor Certificate	Notarised I	POA 🗌	Copy of cancel	•
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INSTRUCTIONS TO INVESTORS FOR FILLING UP THE APPLICATION FORM

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
- 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

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, FlI and other non-individual applicants. 3.
- Applicant should specify the mode of holding. In case it is not mentioned, the default will be "anyone
- 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.

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.

PAYMENTS

- The Fund Names are Peerless Liquid Fund, Peerless Ultra Short Term Fund, Peerless Short Term
- 2 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
- 5. 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 /Fil's Repatriation basis: Payments by NRIs/Fils 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
- Nomination in respect of the units stands rescinded upon the redemption/transfer/transmission of
- 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.

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

E-ALERTS

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

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 Liquid Fund will have to indicate the Scheme / Plan name in the application form as "Peerless Liquid 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) 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.
- 4. The above will be applicable for both Individuals and Non-individuals.

XIII LIST OF SCHEMES

PEERLESS LIQUID FUND-DIRECT PLAN-GROWTH	PEERLESS ULTRA SHORT TERM FUND-DIRECT PLAN-MONTHLY DIVIDEND
PEERLESS LIQUID FUND-DIRECT PLAN- DAILY DIVIDEND	PEERLESS ULTRA SHORT TERM FUND-REGULAR PLAN-GROWTH
PEERLESS LIQUID FUND-DIRECT PLAN- WEEKLY DIVIDEND	PEERLESS ULTRA SHORT TERM FUND-REGULAR PLAN-DAILY DIVIDEND
PEERLESS LIQUID FUND-DIRECT PLANMONTHLY DIVIDEND	PEERLESS ULTRA SHORT TERM FUND-REGULAR PLAN-WEEKLY DIVIDEND
PEERLESS LIQUID FUND-REGULAR PLAN-GROWTH	PEERLESS ULTRA SHORT TERM FUND-REGULAR PLAN-MONTHLY DIVIDEND
PEERLESS LIQUID FUND-REGULAR PLAN-DAILY DIVIDEND	PEERLESS SHORT TERM FUND-DIRECT PLAN-GROWTH OPTION
PEERLESS LIQUID FUND-REGULAR PLAN-WEEKLY DIVIDEND	PEERLESS SHORT TERM FUND-DIRECT PLAN-MONTHLY DIVIDEND
PEERLESS LIQUID FUND-REGULAR PLAN-MONTHLY DIVIDEND	PEERLESS SHORT TERM FUND-DIRECT PLAN-QUARTERLY DIVIDEND
PEERLESS ULTRA SHORT TERM FUND-DIRECT PLAN-GROWTH OPTION	PEERLESS SHORT TERM FUND-GROWTH
PEERLESS ULTRA SHORT TERM FUND-DIRECT PLAN-DAILY DIVIDEND	PEERLESS SHORT TERM FUND-MONTHLY DIVIDEND
PEERLESS ULTRA SHORT TERM FUND-DIRECT PLAN-WEEKLY DIVIDEND	PEERLESS SHORT TERM FUND-QUARTERLY DIVIDEND

NAME OF THE SCHEMES	PLAN	OPTIONS & SUB-OPTION	DEFAULT OPTION UNDER THE PLAN	DEFAULT DIVIDEND OPTION
PEERLESS LIQUID FUND	REGULAR & DIRECT	GROWTH, DIVIDEND-DAILY, WEEKLY, MONTHLY	GROWTH	DAILY REINVESTMENT
PEERLESS ULTRA SHORT TERM FUND	REGULAR & DIRECT	GROWTH, DIVIDEND-DAILY, WEEKLY, MONTHLY	GROWTH	DAILY REINVESTMENT
PEERLESS SHORT TERM FUND	REGULAR & DIRECT	GROWTH, DIVIDEND- MONTHLY, QUARTERLY	GROWTH	QUARTERLY REINVESTMENT

NAME OF THE SCHEMES	PLAN	MINIMUM APPLICATION AMOUNT	MININMUM SIP AMOUNT
PEERLESS LIQUID FUND	REGULAR & DIRECT	Rs.1000 AND IN MULTIPLES OF Re.1 THERE AFTER	FORTNIGHTLY/MONTHLY=Rs 500; QUARTERLY=Rs.1000;HALF-YEARLY-Rs.2000
PEERLESS ULTRA SHORT TERM FUND	REGULAR & DIRECT	Rs.1000 AND IN MULTIPLES OF Re.1 THERE AFTER	FORTNIGHTLY/MONTHLY=Rs 500; QUARTERLY=Rs.1000;HALF-YEARLY-Rs.2000
PEERLESS SHORT TERM FUND	REGULAR & DIRECT	Rs.1000 AND IN MULTIPLES OF Re.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 (EUIN): SEBI has made it compulsory for every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUIN obtained by him/her from AMFI in the Application Form. EUIN, 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 EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. However, if your distributor has not given you any advice pertaining to the investment, the EUIN 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 withoutindicating "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:

(i) 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 theregistered 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 atleast 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.

THIS PACE IS INTERNIO WALLY LEFT BLANK

SYSTEMATIC INVESTMENT PLAN (SIP) 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. Employee Unique Indentification Number (EUIN)* SUB-BROKER CODE / AGENT CODE DISTRIBUTOR / ARN CODE DATE & TIME OF RECEIPT ARN-9992 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 it/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/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" REGISTRATION CUM MANDATE FORM FOR SIP THROUGH NACH, AUTO DEBIT OR ECS (Debit Clearing/Auto Debit) New Registration* Renewal of SIP Change in Bank Details Cancellation of SIP Micro SIP * if you are a new investor kindly fill the common application form 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)
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. **INVESTOR AND INVESTMENT DETAILS** Sole/First Investor Name KYC Proof PAN/PERN Folio/Application No. Existing Investors please mention Folio No. Scheme Peerless Plan ☐ Direct ☐ Option: Growth Dividend ☐ Dividend Reinvestment (default) Dividend Payout Regular Sub Option Monthly Divdend Frequency Daily Quarterly ☐ Half Yearly Normal Weekly Yearly 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. Individual Applicant must fill individual self certification under Fatca. All Non Individual Investors have to mandatorily fill UBO Declaration Form. 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) Each SIPAmount (Rs) First SIP Cheque No. Cheque Amount (Rs) Cheque Date: Start Date Frequency Half Yearly Fortnightly Monthly Quarterly SIP Period Every Alternate Wednesday SIP Date ☐ 1st ___ 15th ☐ 7th 10th 20th 25th Regular Perpetual SIP Date should be either 1st / 7th / 10th / 15th / 20th / 20th / 20th (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 IWe 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). FOR BANK USE ONLY 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 Recorded By Mandate reference No. Date: Signature of the authorised official from the bank D - -- I - Ot - --

	Dank	вапк Stamp	
MANDATE INSTRUCTIONS FORM/NACH	/ECS/DIRECT DEBIT/STANDING INSTRUCT	TION	
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Acknowledgment Slip (To be	e filled in by the investor)	SIP through NAC	H / ECS / Auto Debit Form	Peerles
Received from Mr./Ms./M/s				MUTUAL FUN Collection Centre's Stamp & Receipt
An application for Scheme :		Plan :	Option :	Date and Time
Amount :	Frequency :	Date	e of Commencement :	



INSTRUCTIONS FOR FILLING UP SIP, STP, SWP AEP FORM

Instructions related to National Automated Clearing House (NACH)

- Unique Mandate Registeration Number is for Office use only
- Date in DD/MM/YYYY format
- Tick to selec 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
- 10. Tick on box to select frequency of transaction
- 11. Tick on box to select Debit type
- 12. Mention the Folio No.

- 13. Under Scheme Code please mention the Scheme Name
- 14. Registered Phone No. with STD Code if the contact number is a landline number or 10 digit mobile number & Email ID 15. Mention the start and end date of transaction in DD / MM / YYYY format
- 16. Signature of the Account Holders in the Folio17. 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
- 22. Please provide the cancelled cheque leaf of the Bank A/c no. for which NACH facility is registered
- 23. 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, 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/SWP/STP/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 for
- SIP enrollment will be discontinued in case the SIP installment is not honoured consecutively for 3 SIP installments.
- 10. 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.

 11. The default date will be considered as 7th of the month for each option.
- 12. 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.
- 13. 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
- 14. 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.
- 15. 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/Divi 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. 16.

		A) List of Cities for Auto D	ebit 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
Aurangaban	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	Puniab 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 (NACH/ 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

- 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 / quaterly / half yearly
- 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

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



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



SWP/STP/AEP & SIP (with post dated cheques)



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 I/We hereby confirm that the EUIN notwithstanding the advice of in-a 	box has been intentionall appropriateness, if any, p	ly left blank by me provided by the	e/us as this is an "e employee/relations	execution-only" ship manager/s	transaction withous sales person of	ut any interaction the distributor a	n or advice by t and the distrib	the employee/rela	tionship manager/s arged any advisor	sales person of the above distributor or ry fees on this transaction".
Sole/1 st applicant/Guard					cant/Authorise	,			• • • • • • • • • • • • • • • • • • • •	uthorised Signatory/POA Holder
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(()) Toll Free : 1800 103 8999 Non Toll Free : 022 61779922



SWP/STP/AEP & SIP (with post dated cheques)



5	SYSTEMAT	IC INVEST	MENT PLAN	SIP THROUGH	POST	T DATED CHEC	UES	6) (Investor	subscribing	to SIP t	hrough	ECS/D	irect De	bt must fill	up the S	SIP Auto	Debit)			
	Name of the	Scheme/P	lan/Option/Sul	Option																
	Frequency	☐ Fortnigh	ntly	lonthly	Quart	terly	Half	Yearly				SIP Period								
	SIP Date	Every Alter Wednes		st 🗆 7th 🗆	10th □ 15th □ 20th □ 25th				SIP from	M	M	Υ	Y SIP to M M				M	YY		
	Cheque(s) E	Details N	lo. of Cheque	(s)	Cheq	jue(s) No.		SIP A	Amour	nt (in figu	res)									
	Cheque(s) d	Irawn on	Name of Bank 8	& Branch & City																
	New Investor	s are reques	sted to fill in the	Common Applica	ation Fo	on Form too														
6	SYSTEMATI	C TRANSFE	R PLAN (STP)	(Please note that t	he STP will be registered within 7 working days from the date of receipt o								of request)							
	Fro	om Scheme		Plan		Option /Sub	Opti	ion	To S	cheme				Plan		(Optior	1		
	Frequency	☐ Daily	□ Weekly	☐ Fortnightly		☐ Monthly							STP	Period						
	STP Date	All Business	Every	Every Alternate	1	st	0th	STP from	M	M	Y	Y		STP to	M	M	Т	′ Y		
		Days	Wednesday	Wednesday		5th 20th 2		Amount	Per Instal	lment (Rs)			No	of Inst	tallmen	ts			
7	SYSTEMATI	C WITHDRA	WAL PLAN (S	WP)																
	Name of the	Scheme/P	lan/Option/Su	b Option																
	Frequency				Month	nly Quarterly	sw	/P from	M	M	Υ	Υ	SI	WP to	M	M		YY		
	Amount per	· Withdrawa	I (Rs)							N	lo of Ir	nstalln	nents							
						cument before filling in	the abo	ove details.												
8	AUTOMATIC ENCASHMENT PLAN (AEP) - Available only for Growth Option Name of the Scheme/Plan/Option/Sub Option																			
			•									/		5 500/		n				
			☐ Quarterly	Half Yearly		AEP date : 1st l	Busin	iess Day				(IVI	ınımun	n Rs.500/-	for AE	P optior	1)			
9	DECLARATI																			
	agree to abide the applicable from in the Scheme is received nor be not completed by date of such recorder. I/We he Nationality/ Origanson. The Al	by the terms an time to time. I/N s equal to or men induced by by me/us to the demption and ure of contravention preby, further again and I/We he RN holder has	d conditions, rules We confirm to have ore than 25% of the any rebate or gifts, satisfaction of the ndertake such othe on or evasion of ar gree that the Fund reby confirm that the	and regulations of the understood the invelopment of the sched directly or indirectly Mutual Fund, I/Wellor action with such funy Act, Regulations of can directly credit all the funds for subscription all the commission	stment ome, then in makir nereby ands that or any ot the dividual of the divid	cument and Stateme me and to other statu biplective, investment in Peerless Funds Mang these investments uthorise the Mutual I maybe required by the applicable law edend payouts and ee been remitted from orm of trail commission.	tory re patter nagem s. I/We und to he law nacted dempt n abroa	equirements on and risk factor	of SEBI. AMF tors applicated as full right to the ast full right t	I, Preven ole to Plar orefund estments ed in the count invenda or an etails give	tion of M n/Options the exce are on r scheme ested in t ny Statute en above nels or fi	loney Las under ass to many/our control in favor he Schetory Autor NRIs or or my/our m	aundering the Schelus to be own according of the own from the own of the own is the hority. If the own North	ng Act, 2002 a eme(s). I/We bring my/our i oount and in e e applicant al nrough legitin We hereby c /e confirm tha n-resident Ext	and such a agree the investme event Know t the appropriate soundeclare that I am/V ternal/On	n other re- nat in case ent below ow Your Coolicable Na rces only hat the pa Ve are No rdinary Ac	gulation e my/ou 25%. I/ Custome AV prev and is r articular on-resid count/F	as as may be ir investmen! We have no er process is vailing on the not designed rs above are ent of Indiar FCNR/NRSR		
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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.
- 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.
- 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.
- 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/ SWP/STP/AEP
- For mandatory requirements like Bank account details, Know Your Customer (KYC) and required documents please refer KIM/SID. 6.

Systematic Investment Plan

- 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.
- First SIP cheque could be submitted on any business day. 3.
- 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 4.
- 5. 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 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 6. 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 8. 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. 10. 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
- 11 The default date will be considered as 7th of the month for each option.
- 12. 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) & 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 & 13. signed SIP form & ECS Mandate Form.
- As per Prevention of Money Laundering Act 2002, it is mandatory for all investors to be KYC compliant while making an application for a subscription of any amount. Thus application for any SIP installment amount without a valid KYC compliance may be rejected.
- 15. 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 1	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
Aurangaban	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

- 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, 17. bank/branch is removed, SIP (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

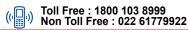
- 1. All valid requests for STP/SWP/AEP forms from one scheme to the other scheme would be treated as switch-out/redemption & switch-in/purchase at the applicable NAV.
- 2. Minimum Investment Amount in Transfer Out scheme should be as per the respective SID/Addendum.
- 3. Units marked under Lien, Pledge 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 specifc 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 / quaterly / 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)



API	PLICANT DETAILS																				
NAME	OF THE ENTITY																				
TYPE	OF ADDRESS GIVEN AT KR	A F	Residential	or Busir	ness		Reside	ential	Bu	ısines	ss	R	egiste	red C	Office						
"Addr	ess of tax residence would be	taken as	available ir	n KRA da	atabase.	In case	e of ar	ny change	please	appro	oach Kf	RA & I	notify	the cl	hanges	."					
CUST	OMER ID / FOLIO NO																				
PAN								D	ATE O	F INC	ORPOR	RATIO	N	D	D	/	М	M	/	' Y	YY
	OF INCORPORATION											Ť									
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	Y CONSTITUTION TYPE ase tick as appropriate		nership Firn		HUF			te Limited	Comp	•					mpany			ociety		AOP /	BOI
			t & Liquidat					ırtnership		Artific	cial Juri	dicai i	Perso	n I	Otr	ners :	speci	ту			
PLE	ASE TICK THE APP	PLICA	BLE TA	X RES	SIDEN	IT DE	:CL/	ARATIC	DN												
	"Entity" a tax resident of any	-			at for tou	Yes		No	oiotod	Tov IF	Nimah	ar hal	low)								
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	ase Tax Identification Number e TIN or its functional equival								umber	or Glo	obal Fn	tity Ide	entific	ation	Numbe	er or	GIIN	etc			
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in ca	se the Entity's Country of	incorpor	ation / Tax	reside	nce is t	J.S. DI	ut Ent	ity is not	a Spe	citied	1 0.5.	Perso	on, m	entic	on Ent	ity's	exer	nptio	n coae	nere	
FΔT	CA & CRS Declarat	ion																			
	se consult your professiona		isor for furt	her guid	dance o	n FATO	CA & C	CRS class	sificatio	on)											
PAF	RT A (to be filled by Financi	ial Instituti	ions or Dire	ct Repo	rting NF	Es)															
1.	We are a,		GIIN																		
	Financial Institution 6		Note: If v	ou do no	∟ ot have a	GIIN I	out voi	u are spon	sored l	by and	other er	ıtitv n	lease	provi	ide vou	r spc	nsor'	s GIIN	l above	and in	dicate
	or		your sons				, a. , o.	а а.о оро		o, a	04.0. 0.	y, p		p. 0	.uo you	. орс		· · · · ·		uu	
	Direct reporting NFE 7		Name of	the spoi	nsoring	entity															
	(please tick as appropriate)																				
	GIIN not available (please till if the entity is a financial institut				olied for	nlooo	onoo	ify 2 digits	oub a	ootogo	n. 10										
	ii tile entity is a ililanciai ilistitui	tion,	Not obtai			•	•	ily Z digits	Sub - (alege	Лу										
РΔБ	RTB (Please fill any one as	appronri						t Reportin	a NFF	3)											
				-							:-						-1- "				1\
1.	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 company¹ (that is, a company whose shares are regularly traded on an established securities market) Yes (if yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange																				
								Name of s	tock ex	chan	ge										
2.	Is the Entity a related entity ²										cify name	of the lis	sted com	npany a	nd one st	ock ex	change	on whic	h the stock	is regula	ly traded)
	whose shares are regularly t	raded on	an establisi	ned seci	urities m	arket)		Name of li			-						_	7.			
								Nature of s				iary of	tne Li	isted (Compan	y or		_ Conf	rolled by	a Liste	d Company
												doctor	ration :	n tha	novt oc	otion\					
3.	Is the Entity an active ³ NFE							Name of E			fill UBO	uecidi	auon II	ii ule l	HEAL SE	JuUII)					
								Please sp			-catego	ry of	Active	NFE		(N	lentio	n cod	e - refei	2c of l	Part D)
4.	Is the Entity a passive4 NFE								-		fill UBO					•					
								Nature of													
	Refer 2a of Part D ² Ref	fer 2b of F	Part D 3	Refer 2d	of Part	D 4	Refer	3(ii) of Pa	rt D	⁶ Ref	fer 1 of	Part [D 7	'Refe	r 3(vii)	of Pa	art D	10	Refer 1	of Pa	rt D





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



CATEGORY (Please tick applicable category):	nlisted Com	npany Partnership Firr	n Limited Liabilit	ty Partnership Company
Unincorporated association / body of individuals	Publi	lic Charitable Trust Religi	ous Trust	Private Trust
Others (Please specify)		
Please list below the details of controlling person(s), confirm EACH controlling person(s). Owner-documented FFI's should provide FFI Owner Reporting	-			
Name - Beneficial owner / Controlling person Country - Tax Residency * Tax ID No Or functional equivalent for each country *	Beneficia	ype - TIN or Other, please specify al Interest - in percentage de ¹¹ - of Controlling person	Address - Include State Address Type	e, Country, PIN, / ZIP Code & Contact Detials
1. Name	Tax ID Typ	pe	Address	
Country	Type Code	le		
Tax ID No. [%]	Address T	Type ☐ Residence ☐ Business ☐ Registered office	ZIP Sta	ate:Country:
2. Name	Tax ID Typ	ne	Address	
Country	Type Code		Addiooo	
Tax ID No.*	••	Type Residence Business		
TAX ID NO.	Address	Registered office	ZIP	ate: Country:
3. Name	Tax ID Typ	pe	Address	
Country	Type Code	le		
Tax ID No. [%]	Address T	Type ☐ Residence ☐ Business ☐ Registered office	ZIP Sta	ate: 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)	Occupation Type - Service, Busine Nationality	G	OB - Date of Birth iender - Male / Female / Other
City of Birth - Country of Birth		Father's Name - Mandatory if PAN i	s not available	
1. PAN		Occupation Type	D	OOB DD/MM/YYYY
City of Birth		Nationality		Gender Male Female Others
Country of Birth		Father's Name		
2. PAN		Occupation Type	D	OOB DD/MM/YYYY
City of Birth		Nationality	G	Gender Male Female
Country of Birth		Father's Name		Others
3. PAN		Occupation Type	D	OOB DD/MM/YYYY
City of Birth		Nationality	G	Gender Male Female
Country of Birth		Father's Name		Others
Additional details to be filled by controlling persons with tax * To include U.S. where controlling person is a U.S. citizen or In caseTax Identification Number is not available, kindly pro	r green card	d holder.	een Card in any other cou	untry other than India
	r 3(iii) of Par	art D ⁵ Refer 3(vi) of Part D ¹¹ Refe	r 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 and certain certifications and documentation from all our account holders. In relev to any institutions such as withholding agents for the purpose of ensuring appropr Should there be any change in any information provided by you, please ensure you Please note that you may receive more than one request for information if you halready supplied any previously requested information. If you have any questions about your tax residency, please contact your tax advision along with the US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you	vant cases, inforriate withholding sou advise us prorve multiple relations, if any contro	prmation will have to be reported to tax authorities/ at g from the account or any proceeds in relation thereto omptly, i.e. within 30 days. ationships with (insert FI's name) or its group entities rolling person of the entity is US citizen or resident o	pointed agencies. Towards complion Therefore, it is important that you r green card holder, please include	liance, we may also be required to provide information u respond to our request, even if you believe you have united States in the foreign country information field
CERTIFICATION				
I / We have understood the information requirements of the lon this Form is true, correct and complete. I /We also confirm				
Name:	Place	ce		
Designation:	Date	e D D M M Y	YY	

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

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 advice 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	 Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND Any one of the following documents; Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence / mailing address in a country other than India	 Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below)
Telephone number in a country other than India	 If no Indian telephone number is provided Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below) If Indian telephone number is provided along with a foreign country telephone number Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR Documentary evidence (refer list below)
Telephone number in a country other than India	 Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below)

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

- Certificate of residence issued by an authorized government body*
- 2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

*Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.



PART D FATCA INSTRUCTIONS & DEFINITIONS FOR NON-INDIVIDUAL APPLICANTS



- 1 Financial Institution (FI) The term FI means any □nancial institution that is a Depository Institution, Custodial Institution, Investment Entity or Speci□ed Insurance company, as de□ned.
- · 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 a satest for the account of others and where it's income attributable to holding annotal assets and related annotal services equals or exceeds 20 percent of the entity's gross income during the shorter of -
 - (i) The three □nancial 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 □nancial asset or money on behalf of other persons;

or

- The gross income of which is primarily attributable to investing, reinvesting, or trading in \(\text{nancial assets}, \) if the entity is managed by another entity that is a depository institution, a custodial institution, a speci\(\text{=} \) ed 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 annial 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-pancial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

Speci del 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 Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Quali ☐ ed 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	Quali □ed credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
80	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):

Cod	e 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;



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



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 :

- 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
- ii. 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 settler 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 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 arrangemen- 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



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

- a corporation the stock of which is regularly traded on one or more established securities markets;
- 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):
- 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;
- 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;
 - 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;
- 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 Sub-category
Α	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
В	The United States or any of its agencies or instrumentalities
С	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)
Е	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
Н	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
ı	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)
М	A tax exempt trust under a section 403(b) plan or section 457(g) plan









Third Party Payment D	eclaration	(Sho	ould	be e	enclos	ed w	ith ea	ach p	oayn	nent/S	IP E	Enrol	ment)		
Payments by : Parents, /Employ		rent	s/Re	late	d Pers	ons	other	tha	n the	e Regi	ster	ed G	uardi	ian/C	usto	dian
Maximum Value : Not E		Rs.	50,0	00/-	(each	regu	ular p	urch	nase	or pe	r SII	P ins	tallm	ent)		
Application and Payme	nt Details	(All	detai	ils b	elow a	are m	anda	atory	, inc	luding	rela	ation	ship,	PAN	KY(C)
Folio No.						P	Applio	catio	n Fo	rm						
Beneficiary Name																
Investment Amount (Rs	s.)															
Payment Cheque No.						D	ated									
Cheque Drawn on Ban	k									•						
Cheque Drawn on A/C	No.															
Declaration and Signat	ures		ı	1		ı	ı	ı								
RELATIONSHIP OF TH	HIRD PAR	TY V	VITH	I TH	E BEN	NEFI(CIAL	INV	EST	OR (Re	fer Inst	ruction N	o. 3) [Plea	ase • (") a	s applica	ole)
Status of the	Minor				FII						E	mploy	ee (s)			
Beneficial Investor					★ Cli	ient					1_					
Relationship of Third Party with the Beneficial Investor	Parent★ Grand★ Relate	Parer			Custod SEBI F Registr	Registr			f Cust	odian	E	mploy	er			
		_ (Plea	ase spec	— cify)												
Declaration by Third Party	I/We decl payment mainor is in on natural love or as a gift.	ade or conside and	deratio	on of	made	on b ource	ehalf of this	of F	II/Clie ment	aymen ent and is from Client	d m n ui P	nade c	n beh Systei thi	alf of e	mplo Inves	yment yee(s) tment ayroll
Income tax PAN																
KYC Acknowledgement] Attad (Mar		ory for a	ny am	ount)	•	-	_	ache anda		or any a	amour	nt)	•
Signature																
Contact No.																

Peerless MUTUAL FUND

Banker's Certificate in case of Demand Draft/Pay Order/Any Other Pre-Funded Bank & Branch Seal 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: ☐ Pay Order/Banker's Cheque Date Pin: Request received from: Contact No. ☐ Demand Draft State: Branch Manager/Declarant (s): Instrument Amount (Rs.) Address of the Requestor In Favour of/ Favouring Name of the Requestor Instrument Number Instrument Details Instrument Type PAN (if available) Payable At Signature: Name: Address: Country: City:



•	We hereby confirm the following details regarding instrument issued by us:
Instrument Type	☐ Demand Draft ☐ 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:	ed for issuing the instrument:
Bank Name	
Bank Account Number	Account Type
Account Holder Details	Name Income Tax PAN
+	
2.	
ró	
If the issuing Bank Branch is outside India:	utside India:
We further declare that we are	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 ne of the funds received from him, a laws in our country.	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:	
	Bank & Branch Seal
City:	State;
Country:	Contact No