

NMF II Platform



Investor Form



Broker/Agent Code

ARN 102683 GADE CAPITAL SERVICES PVT. LTD.

UnitHolder Information

Name of the First Applicant :

PAN/Exempt No.:

Date of Birth :

Tax Status* :

Father Name :

Mother Name :

Name of Guardian :

PAN/Exempt No.:

Contact Address :

City :

Pincode :

State :

Country :

Tel.(Off) :

Tel.(Res) :

Email :

Fax.(Off) :

Fax.(Res) :

Mobile :

Mode of Holding :

Occupation :

DP ID :

Name of Second Applicant :

PAN/Exempt No.:

Name of Third Applicant :

PAN/Exempt No.:

Other Details

Overseas Address
(If investor is NRI) :

City :

Pincode :

Country :

Bank Mandate Details

Name of Bank :

Branch :

A/c No. :

A/c Type :

IFSC Code :

Bank Address :

City :

Pincode :

Country :

Nomination Details

Nominee Name 1 :

NOM1 DOB :

NOM1 Relationship :

Gaurdian Name(If nominee 1 is minor) :

NOM1 Guardian PAN :

Nominee Address :

City :

Pincode :

State :

Nominee Name 2 :

NOM2 DOB :

NOM2 Relationship :

Gaurdian Name(If nominee 2 is minor) :

NOM2 Guardian PAN :

Nominee Name 3 :

NOM3 DOB :

NOM3 Relationship :

Gaurdian Name(If nominee 3 is minor) :

NOM3 Guardian PAN :

Declaration and Signature

I/We confirm that the information provided by me/us is true and correct. I/We acknowledge that the responsibility of the information provided in the registration form solely rests with me/us and that NSE / NSCCL will not be responsible or liable for any loss, claim, liability that may arise on account of any incorrect and/or erroneous data/information provided by me/us. I/We hereby confirm that I/we will comply with the terms and conditions for Know Your Customer (KYC).

I am aware that system generated User ID and password will be sent on the registered mail id. All correspondence/communication in respect of the transactions including the payment link for online fund transfer will be sent to the registered email address and SMS alerts will be sent to the registered mobile number provided at the time of registration on NMF II. I/we also hereby confirm that the email id and the mobile no. provided at the time of registration by the distributor in the NMF II is pertaining to me/us and all communication/correspondence/transactions related alerts shall be sent to same email id/mobile no.

I/We confirm that for existing investments, I/we had gone through, understood the contents of the Scheme Information Document and Key Information Memorandum, addenda issued from time to time regarding each Mutual Fund Scheme, in which I/We had chosen to subscribe / redeem. I/We will also ensure that I/we shall go through, understand the contents of the Scheme Information Document and Key Information Memorandum, issued from time to time regarding each Mutual Fund Scheme, in which I/We will choose to subscribe to / redeem.

I/We hereby authorize NSE to collect the following data/ information pertaining to my / our mutual fund investments from all Asset Management Companies (AMCs) and their respective Registrar and Transfer Agents with whom I/We transact: -

1. Distributor wise transaction data for historical, present and future transactions carried out through various transaction platforms including transaction request submitted at any point of acceptance of the AMCs subject to the condition that the Distributor is registered with NSE NMF II platform.
2. Scheme wise consolidated unit balance available in my account(s) as and when required.

Date :

Place :

Signature 1st Applicant :

Signature 2nd Applicant :

Signature 3rd Applicant :

*Documents Required:

Trust : Trust Deed and Authorised Signatory List

Partnership Firm : Partnership Deed and Authorised Signatory List.

Societies : Bye-Laws and Authorised Signatory List

FII & LLP : Overseas Auditors Certificate, Authorised Signatory List ,Board Resolution/Authorisation to Invest

Corporate : Board Resolution and Authorised signatory List

Minor : Proof of Date of Birth

For all investors, a Cancelled cheque should also be mandatorily submitted as proof of bank account.

UMRN	<div style="text-align: center; font-family: monospace;"> _ </div>																				Date	<div style="text-align: center; font-family: monospace;"> D D M M Y Y Y Y </div>																			
Tick <input checked="" type="checkbox"/>	Sponsor Bank Code	HDFC0999999										Utility Code	HDFC00070000003309																												
CREATE <input checked="" type="checkbox"/>	I/We hereby authorize NATIONAL SECURITIES CLEARING CORPORATION LTD. to debit(tick ✓) SB/CA/CC/SB-NRE/SB-NRO/Other																																								
MODIFY																																									
CANCEL																																									
	Bank a/c number	<div style="text-align: center; font-family: monospace;"> _ </div>																																							
	With Bank	<div style="text-align: center; font-family: monospace;"> _ _ _ _ _ _ _ _ _ _ _ _ </div>										IFSC	<div style="text-align: center; font-family: monospace;"> _ _ _ _ _ _ _ _ _ _ _ _ </div>										or MICR	<div style="text-align: center; font-family: monospace;"> _ _ _ _ _ _ _ _ _ _ _ _ </div>																	
	an amount of Rupees	<div style="text-align: center; font-family: monospace;"> _ _ _ _ _ _ _ _ _ _ _ _ </div>										₹	<div style="text-align: center; font-family: monospace;"> _ _ _ _ _ _ _ _ _ _ _ _ </div>																												
FREQUENCY	<input type="checkbox"/> Mthly <input type="checkbox"/> Qtly <input type="checkbox"/> H-Yrly <input type="checkbox"/> Yrly <input checked="" type="checkbox"/> As & When Presented																				DEBIT TYPE	<input type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount																			
IIN	<div style="text-align: center; font-family: monospace;"> _ _ _ _ _ _ _ _ _ _ </div>										Phone No.	<div style="text-align: center; font-family: monospace;"> _ _ _ _ _ _ _ _ _ _ </div>																													
Mandate ID	<div style="text-align: center; font-family: monospace;"> _ _ _ _ _ _ _ _ _ _ </div>										Email ID	<div style="text-align: center; font-family: monospace;"> _ _ _ _ _ _ _ _ _ _ </div>																													
I agree for the debit of mandate processing charges by the bank whom i am authorizing to debit my account as per latest schedule of charges of the bank.																																									
PERIOD																																									
From	<div style="display: flex; justify-content: space-around;"> <div style="text-align: center;"><div style="font-family: monospace;"> D D </div></div> <div style="text-align: center;"><div style="font-family: monospace;"> M M </div></div> <div style="text-align: center;"><div style="font-family: monospace;"> Y Y Y Y </div></div> </div>																																								
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Or	<input checked="" type="checkbox"/> Until Cancelled																																								
											<div style="text-align: center;">Signature Primary Account holder</div> <hr/> <div style="text-align: center;">Name as in bank records</div>										<div style="text-align: center;">Signature of Account holder</div> <hr/> <div style="text-align: center;">Name as in bank records</div>																				
											<div style="text-align: center;">1. _____</div>										<div style="text-align: center;">2. _____</div>																				
																					<div style="text-align: center;">3. _____</div>																				

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



FATCA-CRS Declaration & Supplementary KYC Information

Declaration Form for Individuals

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

PAN*										
Name										
Address Type <i>[for KYC address]</i>	<input type="checkbox"/> Residential <input type="checkbox"/> Residential / Business <input type="checkbox"/> Unspecified <input type="checkbox"/> Business <input type="checkbox"/> Registered Office									
Place of Birth					Country of Birth					
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 25 Lacs - 1 Cr		<input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 1 Crore		Occupation Details [Please tick any one (✓)]		<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others [Please specify]			
Net Worth in INR. In Lacs	_____									
Net Worth Date	dd-mmm-yyyy									
Politically Exposed Person [PEP]	<input type="checkbox"/> Yes <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable				Any other information [if applicable]		[Please specify]			

* If PAN is not available, please specify Folio No(s)

Is your Country of Tax Residency other than India –

☐ Yes

☐ No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

S No	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type <i>[TIN or other, please specify]</i>

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you [Fund/AMC/RTA/NSE] to disclose, share, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I also undertake to keep you informed in writing about any changes/ modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end. As may be required by domestic or overseas regulators/ tax authorities, I authorize Fund/AMC/RTA/NSE to withhold and pay out any sums from your account or close or suspend your account(s) without any obligation of advising me of the same.

Date :

Signature:

Place :

First Applicant / Guardian

A CHECK LIST OF DOCUMENTS

- 1: Self Attested Copy of PAN CARD.
- 2: Self Attested Copy of Address Proof. (Driving Licence, Voters ID, Passport, Aadhaar Card
Gas/ Electricity / Land line phone bill * , Ration Card
Bank Account statement/ Passbook copy*)
* Not Older than 2 months
- 3: Original Cancel Cheque with preprinted name on it , if name not printed copy of passbook* or
Latest bank Account Statement.
- 4: Passport Size Photo for individuals not having Valid KYC.

Check KYC Status here by putting your PAN No .. <https://camskra.com/>
- 5: For multiple account holding option the co applicants has to fill their individual FATCA & KYC form.
They also has to provide their respective copy of PAN & Address proof .
- 6: Fill the form in **BLOCK** Letters only, Use **BLACK INK** to fill the form .
- 7: After Filling the Form send a scan copy of application and attached documents to our email id
info@gadecapital.co.in
- 8: Send the Original form and documents to our Bellow mentioned address ..

Gade Capital Services Pvt. Ltd.
Account Processing Unit,
Unit L3 - 07 No. 26, 2nd Floor,
Splendid Plaza, Wheeler Road,
Cox Town, Bangalore - 560 005
MOB: 951 33 55 662
Phone: (91) 080 2548 6423 / 24 / 25 / 26
- 9: Copy of updated CLIENT MASTER LIST is must for applicants who wish to hold units on DEMAT mode.

B: Terms & conditions:

- 1: Account opening is absolutely FREE
- 2: The Currier Expenses will be borne by the investor.
- 3: There is no annual maintenance charges applicable .
- 4: Account opening will take 2 days from the date of receipt of application, but the activation
of account will be done by NSE on successful verification of the document and KYC.
- 5: Investors who wish to hold mutual fund in DEMAT mode has to give sell request to the
respective depository service provider.
a) All the applicants , also need to be co-applicant in the DEMAT account.
- 6: Investor has also aware the they have not authorized GADE Capital Services Pvt. Ltd. and
its employees to have access to his/her/their bank accounts, for doing any financial or
non financial transaction.
- 7: "National Automated Clearing House (NACH)" form has been given to authorize National
securities clearing corporation limited to do ECS or Purchases on your request .

I/we here by authorize Gade capital Services Pvt Ltd. to open the NSE NMF account for us to do mutual fund transactions,

I/ We have also read, understood , agreed upon the terms and condition and the procedure of doing the transactions.

Gade Capital services Pvt. Ltd. & its employees are not liable for the losses incurred to me/us due to volatility in market or
due to inability of the system or NSE NMF platform to execute a transaction .

I/we also agree to be contacted by Gade capital & its employees for important product and information update along with
sales promotion of various financial products via Phone Call or SMS or Email.

I/we also authorize Gade capital Services Pvt.Ltd, or its employees to do original verification of the documents
attached to this application by in person or by video chat on web or by any third party vendor .

I/we here y declare that all the information given by us are true and best of our knowledge. I / we will be liable for any
different.

DATE: __/__/__

Place: _____

Signature 1 _____ 2 _____ 3 _____

NAME _____

Know Your Client (KYC) Application Form (For Individuals Only)



www.camskra.com

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document)

Name	<input type="text"/>
Father's / Spouse's Name	<input type="text"/>

COLOUR
PHOTOGRAPH
Please affix
a recent passport
size photograph and
sign across it

2a. Gender Please tick (✓) ☐ Male ☐ Female 2b. Marital Status Please tick (✓) ☐ Single ☐ Married

2c. Date of Birth

3. Nationality Please tick (✓) ☐ Indian ☐ Others

4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport copy mandatory for NRIs and Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card.

Unique Identification Number (UID)/Aadhaar, if any

6. Proof of Identity submitted for PAN exempt cases Please tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving License ☐ Other (please see guideline 'D' overleaf)

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

<input type="text"/>	<input type="text"/>
City / Town / Village	Pin Code
State	Country

2. Contact Details

Tel. (Off.)	Tel. (Res.)
Mobile	Fax
E-Mail Id.	

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease / Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank Account Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others *Not more than 3 months old.

4. Permanent Address of Resident Applicant if different from B1 above OR Overseas Address (Mandatory) for Non-Resident Applicant

<input type="text"/>	<input type="text"/>
City / Town / Village	Pin Code
State	Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease / Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank Account Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others *Not more than 3 months old.

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications directions issued by any governmental or statutory authority from time to time. I hereby authorise sharing of the information furnished on this form with all SEBI registered KYC Registration Agencies/SEBI Registered Intermediaries

Place : _____ Date : _____

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

AMC/Intermediary name OR code

☐ (Originals/Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
Staff Name
Emp.No./ARN. No
Designation
Name of the Organization
Signature
Date
Documents Attestation

Seal/Stamp of the intermediary should contain
Staff Name
Emp.No./ARN. No
Designation
Name of the Organization
Signature
In Person Verification

IPV Done ☐ on

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the list mentioned under [E].
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
9. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/ Mark sheet issued by Higher Secondary Board/Passport of Minor/ Birth Certificate must be provided.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity (*Documents having an expiry date should be valid on the date of submission.):

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill -Not more than 3 months old.

3. Bank Account Statement/Passbook -Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly or Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. Investments(including SIPs), in Mutual Fund schemes upto Rs.50000/ per investor per year per mutual fund.

E. List of people authorized to attest the documents after verification with the originals:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.
3. Government authorised officials who are empowered to issue Apostille Certificates.

In case of Mutual Fund following persons can additionally attest

1. KYD compliant mutual fund distributors.
2. Authorised officials of Asset Management Companies (AMC).
3. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.

F. List of people authorized to perform In Person Verification (IPV):

1. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
2. In case of NRI applicants, a person permitted to attest documents in E(5) above, may also conduct the In Person Verification and confirm the Same in the KYC Form.

In case of Mutual Fund following persons can additionally attest

1. KYD compliant mutual fund distributors.
2. Authorised officials of Asset Management Companies (AMC).
3. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.