

# SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA & CRS - SELF CERTIFICATION FORM FOR INDIVIDUALS

(Please consult your professional tax advisor for further guidance on your tax residency and related FATCA and CRS guidelines)

This form is to be filled by each unit holder separately

## A. APPLICANT / GUARDIAN

PAN							Folio	No.							
Name															
Gender M F O Occupation Type Service Business Others								ers							
Father's Name															
Spouse's Name															
Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes															
Type of address given at KRA	ntial or Busin	ness	/	Reside	ential	\	В	usine	ess		√	Re	egister	ed Of	fice
Permissible documents are ☐ Passport ☐ Elec	tion ID Card	PAN Card	☐ Gov	t. ID C	ard 🔲 I	Driving	Licens	e 🗌 U	IIDAI C	ard [	NR	EGA	Job C	ard 🗌	Other
	Place o	of Birth													
Country of Birth				Natior	nality										
E-mail ID												(Pı	rovide	if not	given
Mobile		(Provide if	not gi	ven)											
Are you a tax resident of any country other the	nan India?	Yes	<b>√</b>		No	<b>√</b>									
If yes, please indicate all countries	in which you	are reside	ent for	tax pı	urpose	s and t	he ass	ociat	ed Tax	ID N	uml	oers	below		
Country Tax Identification Number*								Identification Type (TIN or Other, please specify)							
								(	TIN O	O.	.iiei	ı, pı	ease	spec	iiy <i>)</i>
#To also include USA, where the individual is a citizen/ green card holder of The USA %In case Tax Identification Number is not available, kindly provide its functional equivalent <sup>5</sup>															
B. ADDITIONAL KYC INFORMATION															
Occupation Details [Please tick (✓)]  ✓ Service ✓ Private Secto ✓ Professional ✓ Housewife ✓ Proprietorship ✓ Other		Public Se Business	ctor	ν	Re	overni etired olease			ice	√ √		tud \grid	ent cultur	e	
Gross Annual Income (₹) [Please tick (✓)]  ✓ Below 1 Lac	√ 5 - 10	Lacs	√ 1	10 - 2!	5 Lacs	√	>25 L	acs -	1 Cro	e [	√	>'	l Cror	e	
Net-worth (Mandatory for Non-Individua Rs as on DD	•	(Not old	ler tha	ın 1 y	ear)										
Politically Exposed Person (PEP) Status*  I am PEP  I am Related to P	EP 🗸	Not App	licable												
*PEP are defined as individuals who are or States or of Governments, senior politic corporations. important political party off	ians, senior														

#### C. DECLARATION

I have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Kotak Mahindra Asset Management Company Limited/ Kotak Mahindra Mutual Fund/ Trustees for any modification to this information promptly. I further agree to abide by the provisions of the Scheme related documents inter alia provisions on 'Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI)'.



Date	D	D	M	M	Υ	Υ	Υ	Υ							
Place															

Applicant/ Guardian

#### **FATCA & CRS TERMS & CONDITIONS**

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

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

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

If you have any questions about your tax residency, please contact your tax advisor. If 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 investor has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, investor to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol> <li>Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND</li> <li>Any one of the following documents:         <ul> <li>Certified Copy of "Certificate of Loss of Nationality"</li> <li>or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship;</li> <li>or Reason the customer did not obtain U.S. citizenship at birth</li> </ul> </li> </ol>
Residence/mailing address in a country other than India	<ol> <li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	If no Indian telephone number is provided  1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and  2. Documentary evidence (refer list below)  If Indian telephone number is provided along with a foreign country telephone number  1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR  2. Documentary evidence (refer list below)
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository account)	<ol> <li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>Documentary evidence (refer list below)</li> </ol>

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

- 1. Certificate of residence issued by an authorized government body\*
- Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)
- ${\color{red}^*} Government or agency thereofor a municipality of the country or territory in which the payee claims to be a resident$

### **AMC CONTACT ADDRESS & CALL CENTER DETAILS**

Kotak Mahindra Asset Management Company Ltd.

6th Floor, Kotak Infinity, Building No. 21, Infinity Park, Off Western Exp Highway, Goregaon-Mulund Link Road, Malad (E), Mumbai - 400097. To know more about mutual funds, Visit: assetmanagement.kotak.com • Toll Free Number: 1800 222 626/022-66384400

#### FOR OFFICE USE ONLY