

Application Form for Mutual Fund Identification Number (MIN)

(For Individuals Only)



CDSL VENTURES LIMITED

Application No. :

Please fill this form in **ENGLISH** and in **BLOCK LETTERS** (All Information as applicable in Sections A, B and C below is mandatory)

This information is sought under the Prevention of Money Laundering Act, 2002, the rules notified thereunder and SEBI's guidelines on Anti Money Laundering. For existing Mutual Fund investors, the address(es) & contact details furnished herein will be replaced in the records of the Mutual Fund / Authorised Agent. (Refer Instruction overleaf)

A. Identity Details (Please see guidelines A1 to A6 overleaf)

1. Name of Applicant (As appearing in supporting identification document) Title Mr. Ms. Others Gender Male Female

Name

Father's Name

2. Date of Birth / / **3. Nationality** Indian Others

4. Status Please tick (✓) Resident Individual Non-Resident Indian Person of Indian Origin (PIO) – Attach copy of PIO Card

5. Permanent Account Number (PAN)

Please tick (✓) Copy of PAN Card attached Not an Assessee PAN Not Allotted

6. Proof of Identity to be provided by Applicant. Please submit ANY ONE of the following valid documents

Please tick (✓) PAN Card Passport Driving License Voter's ID Card UIN Card Photo Ration Card
 Photo Debit Card (issued by Bank) Any Other Proof of Identification with Photograph (as listed overleaf)

For the document submitted, please mention its reference number, if any For example Passport Number / Driving License No. etc.

Please affix most recent colour photograph with white background
 Size : 3.5 X 4.5 cms
 Sign across the photograph

B. Address Details (Please see guidelines B1 to B4 overleaf)

1. Address for Correspondence

City / Town / Village Postal Code
 State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)
 Mobile (ISD) (STD) Fax (ISD) (STD)
 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.

Latest Telephone Bill Latest Electricity Bill Passport Driving License Latest Bank Passbook Latest Bank Account Statement
 Latest Demat Account statement Voter Identity Card Ration Card Registered Lease / Sale Agreement of residence Any other proof of address document (as listed overleaf)

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

City / Town / Village Postal 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.

Latest Telephone Bill Latest Electricity Bill Passport Driving License Latest Bank Passbook Latest Bank Account Statement
 Latest Demat Account statement Voter Identity Card Ration Card Registered Lease / Sale Agreement of residence For NRIs - Any other document attested by local authority.

C. Other Details (Please see guidelines C1 and C2 overleaf)

1. Gross Annual Income Details Please tick (✓)

Upto Rs. 5,00,000 Rs. 5,00,001 to Rs. 25,00,000 Rs. 25,00,001 to Rs. 1,00,00,000 Rs. 1,00,00,001 to Rs. 5,00,00,000 Rs. 5,00,00,001 and above.

2. a. Occupation Details Please tick (✓) **any one**

Private Sector Service Public Sector / Government Service Business Professional Agriculturist Retired Housewife
 Student Forex Dealer Others (Please specify)

b. If the following is additionally applicable to you Please tick (✓) **one or more** as applicable

Civil Servant Bureaucrat Current or Former MP, MLA or MLC Politician Current or Former Head of State

DECLARATION

I hereby confirm that I have read and understood the Instructions mentioned overleaf and apply to CDSL Ventures Limited ('CVL') or other agent of the mutual fund registered under the SEBI (Mutual Funds) Regulations, 1996 for a Mutual Fund Identification Number ('MIN') for transacting in units issued by Mutual Funds and I agree to abide by the terms, conditions, rules, regulations and other statutory requirements applicable to the respective Mutual Funds. I hereby declare that the particulars given herein are true, correct and complete to the best of my knowledge and belief, the documents submitted along with this application are genuine and I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any Notifications, Directions issued by any governmental or statutory authority from time to time. I hereby undertake to promptly inform CVL / the mutual fund agent of any changes to the information provided hereinabove and agree and accept that CVL, the respective Mutual Funds, their authorised agents and representatives ('the Authorised Parties') are not liable or responsible for any losses, costs, damages arising out of any actions undertaken or activities performed by them on the basis of the information provided by me as also due to my not intimating / delay in intimating such changes. I hereby authorize CVL / the mutual fund agent to disclose, share, remit in any form, mode or manner, all / any of the information provided by me to the respective Mutual Funds in which I may transact / have transacted and / or to their authorised agents and representatives including all changes, updates to such information as and when provided by me. I hereby agree to provide any additional information / documentation that may be required by the Authorised Parties, in connection with this application. I hereby confirm that this application is for a unique MIN and I have not been allotted a MIN in the past.

SIGNATURE OF APPLICANT

Place :

Date :

For Office Use Only

Stamp of POS (Name & Location) & Receiver's Signature

Name and Employee Number of Receiver

(Originals Verified) Self Certified Document copies received
 (Attested) True copies of documents received

MIN

IMPORTANT NOTES - PLEASE READ BEFORE FILLING UP THE FORM

1. This Mutual Fund Identification No. (MIN) Application Form is for use by **INDIVIDUALS** only. A separate form is provided for non-individual entities such as Hindu Undivided Families, Corporates, Trusts, Societies, etc.
2. This form is not an Investment Application Form, and is only meant for obtaining a MIN. The MIN must be used by the Applicant while investing with any SEBI registered Mutual Fund which is a **Participating Mutual Fund** for the purpose of the MIN. Participating Mutual Fund means any SEBI registered Mutual Fund which has subscribed to the services of CDSL Ventures Limited (CVL) for issuance of the MIN. A list of Participating Mutual Funds is available on the website of AMFI at www.amfiindia.com.
3. Subscription to Participating Mutual Fund Units may be made only after obtaining the MIN at their respective designated Points of Acceptance / Investor Service Centres. Currently, any single investment in Participating Mutual Funds for **amounts equal to and greater than Rs. 50,000** will require a MIN.
4. Unitholders / Investors must quote their MIN on the Investment Application Form(s) / Transaction Slip(s) while investing. Applications Forms / Transaction Slips not quoting the MIN are liable to be rejected by the Participating Mutual Funds.
5. **Joint Holders:** Joint holders need to individually obtain MINs before they can invest with any Participating Mutual Fund. Eg. in case of three joint holders, all holders need to obtain their independent MINs and quote all three in their single investment with a Fund.
6. **Minors:** A minor cannot apply for MIN. In case of investments in respect of a Minor, the Guardian should obtain a MIN in his/her own name and quote it while investing in the name of the minor. The Minor, upon attaining majority, should immediately apply for a MIN in his/her own capacity and intimate the concerned Participating Mutual Fund(s), in order to be able to transact further in his/her own capacity.
7. **Power of Attorney (PoA) Holder:** Investors desirous of investing through a PoA must note that the MIN requirements are mandatory for both the PoA issuer (i.e. Investor) and the Attorney (i.e., the holder of PoA), both of whom should obtain MINs in their independent capacity and quote them while investing.
8. If an individual becomes a Mutual Fund Investor due to an operation of law, e.g., transmission of units upon death of an investor, the claimant / person(s) entering the Register of Unitholders of the Participating Mutual Fund(s) will be required to obtain MIN by filling up this form, before such transfer can take place.
9. Participating Mutual Funds require investors to provide their identity and address information, supported by documentary evidence for the "Know Your Client" requirements laid down by the Prevention of Money Laundering Act, 2002 (PMLA). They reserve the right to seek any additional information / documentation in terms of the PMLA at any point of time.
10. Participating Mutual Funds will not be liable for any errors or omissions on the part of the applicant / Unit holders in the MIN Application Form.
11. Participating Mutual Funds will, on a best effort basis ensure, that the documents received in support of MIN requirements are verified. Acceptance of the Application Form along with document(s) is subject to verification and final confirmation from CVL. In the event of any MIN Application Form being rejected for lack of information / deficiency / insufficiency of mandatory documentation, the investment transaction will be cancelled and the amount will be redeemed at applicable NAV, subject to payment of exit load, wherever applicable. (In case of an ELSS Scheme or a New Fund Offer, the original amount invested will be refunded). Such refunds will be despatched within a maximum period of 21 days from date of allotment of units. In respect of New Fund Offer the refunds will be despatched within a maximum period of 6 weeks from the closure of New Fund Offer.
12. The Participating Mutual Fund, its Asset Management Company, Trustee Company and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios / rejection of any application / non-allotment of units or mandatory redemption of units / refund due to non-compliance with the provisions of the PMLA, SEBI guidelines or where the AMC / Mutual Fund believes that transaction(s) by an applicant / investors is / are suspicious in nature within the purview of the PMLA and SEBI guidelines and requires reporting the same to Financial Intelligence Unit - India (FIU-IND).
13. MIN, if not used by any Participating Mutual Fund for a continuous period of 3 years, may be liable for de-activation.

GUIDELINES FOR FILLING UP THE MIN APPLICATION FORM

General

1. The Application Form should be completed in **ENGLISH** and in **BLOCK LETTERS**.
2. Please tick in the appropriate box wherever applicable.
3. Please fill the form in legible handwriting so as to avoid errors in your application processing. Please do not overwrite. Corrections should be made by cancelling and re-writing, and such corrections should be counter-signed by the applicant.
4. Applications incomplete in any respect and/or not accompanied by required documents are liable to be rejected.
5. Applications complete in all respects and carrying necessary documentary attachments should be submitted at the Designated "Points of Service" (PoS). A complete list of PoS is available on the website of AMFI at www.amfiindia.com
6. You are required to submit a Proof-of-Identity document and a Proof-of-Address document for each address filled by you in this form. Documents submitted to support Identity and Address should be
 - Original Documents + Self-attested photocopies (Originals will be returned over-the-counter after verification) **OR**
 - True Copies attested by a Notary Public / Gazetted Officer / Manager of a Scheduled Commercial Bank (Name, Designation and Seal should be affixed on the copy). Unattested photocopies of an original document or of notarised copies are not acceptable
 - If the above documents including attestation / certifications are in regional language or foreign language then the same has to be translated into English for submission.

A. Identity Details

1. Name : Please state your name as Title (Mr / Mrs / Ms / Dr / Commander / etc.), **First, Middle and Last Name** in the space provided. **This should match exactly with the name as mentioned in 'Proof-of-Identity' submitted as supporting document; otherwise the application is liable to be rejected. If the proof of identity document has a name by which the applicant has been known differently in the past, then requisite proof should be provided, e.g. marriage certificate, or gazetted copy.**
2. Date of Birth: Please ensure that this matches with the Date of Birth as indicated in the Proof-of-Identity document, if mentioned therein.
3. Nationality: Foreign Nationals are not allowed to apply, unless they are Non-Resident Indians or Persons of Indian Origin (PIO).
4. Status : In case you are a Person of Indian Origin (PIO) you need to attach a copy of PIO Card.
5. PAN: If you hold a PAN issued by the Income Tax Department, please state this number. Since this is an acceptable Proof-of-Identity document, you may attach a copy of the PAN Card to fulfil the Identity verification requirement.
6. Proof of Identity Documents: You may attach any one of the following documents. Please tick the applicable tick box and mention the document number in the space provided (e.g. Passport No., Ration Card No., etc).

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|--|----------------|---------------------|
| • PAN Card | • Passport | • Driving License |
| • Voter's ID Card | • UIN Card No. | • Photo Ration Card |
| • Photo Debit Card (Issued by Bank) | | |
| • Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Notary Public / Elected Representatives to the Legislative Assembly / Parliament | | |

B. Address Details

1. Address for Communication : Please provide here the address where you wish to receive all communications sent by the Participating Mutual Funds with whom you invest. **The address you give here will supercede existing information in the records of the Participating Mutual Fund / Registrars and Transfer Agent to the Participating Mutual Fund. This address should match with the address in the 'Proof-of-Address' submitted as supporting document; otherwise the application is liable to be rejected.**

- 2.. Contact Details: Please provide the Telephone / Email contact details for Participating Mutual Fund to communicate with you.
3. Proof of Address Documents for Address for Communication / Permanent Address / Overseas Address: Please note that each of the two addresses mentioned by you will need to be supported by a 'Proof-of-Address' supporting document. Please tick the box as applicable, for the document provided by you. You may attach any one of the following documents:

- | | | |
|--|----------------------------|----------------------------------|
| • Latest* Telephone Bill | • Latest* Electricity Bill | • Passport |
| • Driving License | • Latest* Bank Passbook | • Latest* Bank Account Statement |
| • Latest* Demat Account statement | • Voter Identity Card | • Ration Card |
| • Registered Lease / Sale Agreement of residence | | |
| • Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Notary Public / Elected Representatives to the Legislative Assembly / Parliament | | |
| * These documents should not be more than three months old as on the date of submission of this form | | |

4. Permanent Address / Overseas Address: If you are a Resident Indian, and your Permanent address is different from the one mentioned in the Address for Correspondence, please state it here. **If you are a Non-Resident Indian or a Person of Indian Origin, it is mandatory for you to state your Overseas Address here.**

C. Other details

1. Gross Annual Income details: Please tick the applicable box indicating your Gross Annual Income (including both taxable and tax-free incomes).
2. Occupation details: Please indicate your current occupation by ticking one most applicable to you. You are required to fill up the next section, if it additionally applies to you.

After you have completely filled up the form, please take a photocopy and submit the same alongwith the entire set to the POS.

Other important notes, after the MIN is allotted to you:

1. Please preserve the document from CVL which states the MIN allotted to you. You will need to attach photocopies of this document when you make your additional investments in any Participating Mutual Fund.
2. If you observe any error in the details as captured by CVL, you are requested to approach the nearest Designated PoS or contact CVL at the contact details given at the bottom of this page.
3. If you are already holding investments in any of the Participating Mutual Funds, please communicate your MIN immediately to such Funds or their Registrars, giving details of your folio / account numbers with them. Please note that your signature on the MIN Application Form should match with that on the records of the Participating Mutual Funds.
4. In respect of new investors, signature on the Application Form for investing / transacting in Participating Mutual Fund should match with that on this MIN Application Form.
5. Applications for Financial Transactions and Non Financial Transactions, other than Change of Address / Name / Status / Signature must not be submitted at PoS along with MIN application forms, but submitted only at the designated Investor Service Centres / Official Points of Acceptance of Participating Mutual Funds. Applicants / Unitholders must quote their MIN Number along with every financial / non financial transaction.
6. After allotment of MIN, if there is any change(s) in the Applicant's details such as Name, Address, Nationality, Status, Income bracket, Occupation or Signature, the change should be registered with CVL through a designated PoS expeditiously, by using the MIN Modification form. **It should be noted that only after such registration will the change be reflected in the Participating Mutual Fund records. Particularly with respect to change of address, investors should register such change giving 10 days time for the subsequent communications from Participating Mutual Funds to reach them at the new address.** Original / Attested copies of documents supporting the change will be required to be submitted together with the MIN Modification Form.

CHECKLIST

(Before submitting this form, please go through the following checklist)

1. Please ensure that the form is completed in all respects and signed by you.
2. Please attach your recent photograph and sign across the photograph.
3. Please attach a Proof of Identity Document and Proof of Address Document (one for each distinct address). These should be either original + photocopies or attested / notarised photocopies.
4. If you are an NRI please mention your overseas address in B4. If you are a PIO, please attach a copy of the PIO Card.
5. Please submit a photocopy of the duly filled up MIN Application Form.

For assistance or enquiries please approach the Point of Service where you had submitted your MIN Application Form.