



MF Utilities India Pvt. Ltd.

103-105, Orion Business Park, Ghodbunder Road, Kapurbawdi

Thane (West) - 400 607

CIN : U74120MH2013PTC242939

APPLICATION NO:

COMMON ACCOUNT NUMBER (CAN) Registration Form - NON-INDIVIDUAL

Please read all the instructions carefully before filling the form
Please fill in ENGLISH and in BLOCK LETTERS with black ink
Fields marked with (*) are mandatory and if not filled, the form is liable for rejection

UCRN

Distributor / MFU user to write the system generated reference number here

A. * Applicant Details: (please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name)

Please note that the information that is available centrally with the KYC Registration Agencies will be consumed from them based on PAN provided by the applicant

* PAN		KYC Proof/Documents Attached (refer instructions) Y/N		* Date of Incorporation	DD / MMM / YYY		
* Name		Date of Commencement of Business	DD / MMM / YYY				
* Status please tick (✓)	Pvt. Ltd. Company	Public Ltd. Company	Body Corporate	Partnership Firm	Charitable Trust	PF Trust	FII
Fund of Fund	Gratuity Fund	NPS Trust	Pension & Retirement Fund	Super Annuation Fund	Financial Institutions	Society	HUF
Social Organizations	Bank	Government Body	Non-Government Organization	Non-Profit Organization	AOP / BOI	LLP	QFI
Defence Establishment	Section 25 Company	Others	please specify				

B. * Address for Communication:

(The address details provided here will be used for a temporary period only. Upon KYC verification, the address available with the KYC Registration Agencies will be consumed and considered to be the address for further communications)

Address							
City		Pincode		State			

C. * Contact person details:

Name								PAN	
Designation									
Office Telephone No.	ISD Code	STD Code	Telephone Number	Fax No.	ISD Code	STD Code	Fax Number		
Primary Mobile No.	ISD Code	Mobile Number	Alt. Mobile No.	ISD Code	Mobile Number				
Email ID	Email ID								

D. Depository Account Details: ("Optional" - To be filled by investors who wish to hold their units in Depository Account - refer instructions)

Depository Participant Name*	National Securities Depository Limited (NSDL)				Central Depository Services Limited (CDSL)			
	Depository Participant Name							
<small>* Attach latest copy of the client master or Statement of Account from Depository</small>	DP ID	I	N	Bene. A/c	Bene. A/c			

E. * Bank Account Details:

(At least one bank account should be mandatorily registered under CAN. Fields marked mandatory for the default account will be mandatory for additional accounts, if provided)

a. Default and Primary Bank Mandate for Payout (1)

* A/c No.		* A/c Type please (✓)	Current	Cash Credit	O/D	Others
* MICR		* IFSC	Savings	FCNR	NRSR	please specify
Bank Name						
Branch Name		City				
* Proof of Account (refer Instructions)	Cancelled Cheque or Copy	Bank Passbook	Bank Statement	Letter from Bank confirming the Account		

Payout proceeds will be processed into the bank through ELECTRONIC payment, basis arrangement of the respective Mutual Fund with its banker. If you wish to receive a physical payment please tick (✓)

b. Additional Bank Mandate for Payout (2)

A/c No.		A/c Type please (✓)	Current	Cash Credit	O/D	Others
MICR		IFSC	Savings	FCNR	NRSR	please specify
Bank Name						
Branch Name		City				
Proof of Account (refer Instructions)	Cancelled Cheque or Copy	Bank Passbook	Bank Statement	Letter from Bank confirming the Account		

Payout proceeds will be processed into the bank through ELECTRONIC payment, basis arrangement of the respective Mutual Fund with its banker. If you wish to receive a physical payment please tick (✓)

ACKNOWLEDGEMENT SLIP (to be filled in by the investor). For any queries please contact the nearest MFU "Point of Service" or call us at 1800-266-1415 (Toll Free) or +91 22 3952 6363.

MF UTILITIES INDIA PVT. LTD., Address: 103-105, 1st Floor, Orion Business Park, Ghodbunder Road, Kapurbawdi, Thane (West) - 400 607, India

Received from M/s. _____
an application for creation of Common Account Number (CAN).

Please note : A CAN shall be issued subject to all necessary documents and annexures being available and the holder being KYC certified

POINT OF SERVICE STAMP & SIGNATURE

Stamp and signature box

c. Additional Bank Mandate for Payout (3)

A/c No.													A/c Type please (✓)	Current	Cash Credit	O/D	Others
MICR					IFSC							Savings	FCNR	NRSR	please specify		
Bank Name																	
Branch Name											City						
Proof of Account (refer instructions)	Cancelled Cheque or Copy			Bank Passbook			Bank Statement			Letter from Bank confirming the Account							

Payout proceeds will be processed into the bank through ELECTRONIC payment, basis arrangement of the respective Mutual Fund with its banker. If you wish to receive a physical payment please tick (✓)

d. Additional Bank Mandate for Payout (4)

A/c No.													A/c Type please (✓)	Current	Cash Credit	O/D	Others
MICR					IFSC							Savings	FCNR	NRSR	please specify		
Bank Name																	
Branch Name											City						
Proof of Account (refer instructions)	Cancelled Cheque or Copy			Bank Passbook			Bank Statement			Letter from Bank confirming the Account							

Payout proceeds will be processed into the bank through ELECTRONIC payment, basis arrangement of the respective Mutual Fund with its banker. If you wish to receive a physical payment please tick (✓)

e. Additional Bank Mandate for Payout (5)

A/c No.													A/c Type please (✓)	Current	Cash Credit	O/D	Others
MICR					IFSC							Savings	FCNR	NRSR	please specify		
Bank Name																	
Branch Name											City						
Proof of Account (refer instructions)	Cancelled Cheque or Copy			Bank Passbook			Bank Statement			Letter from Bank confirming the Account							

Payout proceeds will be processed into the bank through ELECTRONIC payment, basis arrangement of the respective Mutual Fund with its banker. If you wish to receive a physical payment please tick (✓)

F. * Other Details:

1. Gross Annual Income Details please tick (✓)

Below 1 Lac	1 - 5 Lac	5 - 10 Lac	10 - 25 Lac	25 Lacs - 1 Crore	> 1 crore
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2. Net-worth in ₹. (* Net worth should not be older than 1 year) as on (date) DD / MM

3. Is the entity involved/providing any of the following services please tick (✓)

- Foreign Exchange / Money Changer Services	YES	NO
- Money Lending / Pawning	YES	NO
- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)	YES	NO

4. Any other information: _____

G. Authorization on Single Payment for Multiple Scheme Investments through a Single Transaction Form:

I / We understand and agree that MF Utilities India Private Limited ("MFUI") shall facilitate the investments in multiple schemes across Mutual Funds made by me / us through MF Utility by way of a single payment made by me / us. To enable MFUI accept the transaction with payment and transmit the investment amount, I / we authorise MFUI to do the following acts, deeds and things for and on my / our behalf:

- To accept single payment made by me / us either physically /electronically favouring "Mutual Fund Subscription" Account or such other similar account created for this purpose and managed by MFUI, towards the investments made by me / us in multiple schemes across Mutual Funds through MF Utility.
- To transmit / transfer the payments to the collection accounts of the respective Mutual Funds as per the investments made by me / us directly or through Distributor and
- To do all such acts, deeds and things as may be necessary or incidental to the above mentioned purpose.

H. Declaration and Signature(s):-

I/We am/are duly authorised by the hereinabove named applicant for executing this Registration form for and on its behalf.
 I/We hereby acknowledge that I/We have read, understood and agree to the terms and conditions annexed to this Registration form.
 I/We hereby declare that the details furnished herein are complete, true and correct.
 I/We undertake to notify MFU, immediately of any change in the above details and information given by me/us. In case any of the information is found to be false or untrue or misrepresenting, I/We am/are aware that I/We may be liable for it.
 I/We hereby authorise MFU sharing of the information provided by me/us on this form with its Authorised Representatives/Entities.
 I/We have provided all the necessary documents/annexures, wherever asked for, to substantiate the information provided by me/us in the form and agree to provide any further information if required, for the purpose of this Registration.
 I/We hereby authorize MFU to map with this CAN, the folios existing with the Mutual Funds or folios, in case created in future, in the name of the above applicant.

Date : DD / MM / YYY Place : _____

Name(s) and Signature(s) of Authorized Signatory(ies) with Official seal/stamp
Sign Here
Names and Signature(s) of Authorized Signatory(ies) with Official Stamp

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* Declaration for Ultimate Beneficial Ownership (UBO)

(Mandatory for Non-Individual Applicants/Investors)

This declaration is not needed for Companies that are listed on any recognized stock exchange or is a Subsidiary of such Listed Company or is Controlled by such Listed Company

A: Applicant Details:-

PAN		CRF No.	please specify
Applicant Name			

B: Category (please tick applicable category):-

<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership	<input type="checkbox"/> Unincorporated Association/Body of Individuals	<input type="checkbox"/> Religious Trust
<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Private Trust / Trust created by a Will	<input type="checkbox"/> Others	please specify	

C: Details of Ultimate Beneficial Owners:-

(Please list below each controlling person, confirming ALL countries of Tax Residency / permanent address / citizenship and ALL Tax Identification Numbers for EACH controlling person. Please submit photocopy^s of the PAN with photo or any other valid photo identity proof for each of the UBO specified)

If any of the UBO is resident / citizen of a Country other than India or citizen / tax resident / green card holder of United States of America (USA), please provide TaxPayer Identification Number / US Social Security Number (SSN) *

S.No	Name of Ultimate Beneficiary Owner <small>PAN (for Residents/NRIs) ID Proof (Foreign / PAN Exempt Individuals)</small>	Permanent Address	Country of: Birth (COB), Citizenship (COC), Nationality (CON)	Country of Tax Residency	Tax Identification Number (TIN)	UBO Code @
	Name		COB:	1.	1.	
	PAN		COC:	2.	2.	
	ID Proof		CON:	3.	3.	
	Name		COB:	1.	1.	
	PAN		COC:	2.	2.	
	ID Proof		CON:	3.	3.	
	Name		COB:	1.	1.	
	PAN		COC:	2.	2.	
	ID Proof		CON:	3.	3.	
	Name		COB:	1.	1.	
	PAN		COC:	2.	2.	
	ID Proof		CON:	3.	3.	

* - If the given rows are not sufficient, investor can submit multiple declarations covering all Beneficial Owners.

- Attached document should be self certified by the UBO and certified by the Applicant / Investor's Authorized signatory.

@ - UBO Codes

UBO Code	Description	UBO Code	Description
UBO-1	Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company	UBO-2	Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership
UBO-3	Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an unincorporated association or body of individuals	UBO-4	Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under clause 4 (a) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
UBO-5	Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]	UBO-6	The settlor(s) of the trust
UBO-7	Trustee(s) of the Trust	UBO-8	The Protector(s) of the Trust [If applicable].
UBO-9	The beneficiaries with 15% or more interest in the trust if they are natural person(s)	UBO-10	Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership

Declaration

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We aware that I/We may liable for it. I/We hereby authorize sharing of the information furnished in this form with all SEBI Registered Intermediaries and they can rely on the same. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or reverse the allotment of units, if subsequently it is found that applicant has concealed the facts of beneficial ownership. I/We 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 end.

Authorized Signatory(ies) [with Company/Trust/Firm/Body Corporate seal/stamp]

Date : ____ / ____ / ____ Place : _____

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*** FATCA declaration and details for entities**
(Mandatory for Non-Individual Applicants/Investors)
Please refer annexure for definitions
(Please seek advice from a tax professional on any FATCA aspects)

Part A: Applicant Details:-																						
PAN	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																					
	CRF No. <input type="text"/> please specify																					
Applicant Name	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																					

Part B:		
Incorporation / Formation in India	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If No, please specify the countries of Incorporation / Formation / Tax Residency	Country of Incorporation / Formation	Country of Tax Residency
Tax Payer Identification Number (If the country of Incorporation / Formation / Tax Residency is other than India)		

Part C:		
Are you a financial institution (including an FFI) (Refer instructions) If yes, please provide the following information:		
<input type="checkbox"/> an Indian Financial Institution <input type="checkbox"/> a financial institution in another country that has intergovernmental agreement (IGA) with the US on FATCA <input type="checkbox"/> an FFI in a country without an IGA that has registered to obtain a GIIN <input type="checkbox"/> others (please specify)	GIIN: _____ (Global Intermediary Identification Number)	If GIIN not available (tick any one) <input type="checkbox"/> Applied for _____ (please specify the date) <input type="checkbox"/> Not required to apply/not obtained for the following reasons: <input type="checkbox"/> We are non participating FFI <input type="checkbox"/> We are a certified deemed compliant FFI under US Treasury Regulation <input type="checkbox"/> We are an exempt beneficial owner under US Treasury Regulations <input type="checkbox"/> Any other reason _____ (please specify)

Part D:	
1	Are you a listed company (that is, a company whose shares are regularly traded on a recognized stock exchange) <input type="checkbox"/> YES <input type="checkbox"/> No If yes, specify the name of the stock exchange(s) where it is regularly traded 1. _____ 2. _____
2	Are you a "Related Entity" of a listed company (Refer instruction b) <input type="checkbox"/> YES <input type="checkbox"/> No If yes, specify the name of the listed company 1. _____ 2. _____ Specify the name of the stock exchange(s) where it is regularly traded 1. _____ 2. _____
3	Are you an active NFFE (Refer instructions c & d) Details of controlling persons will not be considered for FATCA purpose <input type="checkbox"/> YES <input type="checkbox"/> No If yes, specify the nature of business _____
4	Are you a passive NFFE (Refer instructions e & g) <input type="checkbox"/> YES <input type="checkbox"/> No If yes, specify the nature of business _____ For all Controlling Persons who are citizens / tax residents / green card holders other than India, provide their Name, Address, Taxpayer Identification Number and Percentage of Holding by filling UBO Form & enclose additionally

Declaration:
 I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after consulting necessary tax professionals. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/ us to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / associated parties / 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 and other investigation agencies without any obligation of advising me/us of the same. Further, I/WE, authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I/We 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 / documentary proof as may be required at your end.

Date :

D	D	/	M	M	M						
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Place : _____

Name(s) and Signature(s) of Authorized Signatory(ies) with Official seal/stamp _____ Sign Here _____ Names and Signature(s) of Authorized Signatory(ies) with Official Stamp
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Ultimate Beneficial Ownership (UBO)

BACKGROUND

Pursuant to SEBI master circular vide ref. no. CIR/ISD/AML/3/2010 dated December 31, 2010 on anti money laundering standards and guidelines on identification of Beneficial Ownership issued by SEBI vide its circular ref. no. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) ("UBO(s)") and submit proof of identity (viz. PAN with photograph or any other acceptable proof of identity prescribed in common KYC form) of UBO(s).

The Ultimate Beneficial Owner means:

● **For Investor other than Trust:**

A '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. Controlling ownership interest means ownership of / entitlements to:

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

In cases where there exists doubt as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity details should be provided of the natural person who is exercising control over the juridical person through other means (i.e. control exercised through voting rights, agreement, arrangements or in any other manner). However, where no natural person is identified, the identity of the relevant natural person who holds the position of senior managing official should be provided.

● **For Trust:**

The settler of the trust, the trustees, the protector, the beneficiaries with 15% or more of interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Exemption in case of listed companies:

The provisions w.r.t. Identification of UBO are not applicable to the investor or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company.

Applicability for foreign investors:

The identification of beneficial ownership in case of Foreign Institutional Investors (FIIs), their sub-accounts and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012.

FATCA - Annexure : Definitions

a. Foreign Financial Institution [FFI] – Means any non-US financial institutions that is a

- Depository institution – accepts deposits in the ordinary course of banking or similar business;
- Custodian institution - as a substantial portion of its business, hold financial assets for the accounts of others;
- Investment entity – conducts a business or operates for or on behalf of a customer for any of the activities like trading in money market instruments, foreign exchange, foreign currency, etc. or individual or collective portfolio management or investing, administering or managing funds, money or financial assets on behalf of other persons; or an entity managed by this type of entity; or
- Insurance company – entity issuing insurance products i.e. life insurance;
- Holding or Treasury company – entity that is part of an expanded affiliate group that includes a depository, custodian, specified insurance company or investment entity

b. Related Entity - an entity is a "Related Entity" of another entity if one controls the other, or the two entities are under common control (where control means direct or indirect ownership of more than 50% of the vote or value in an entity)

c. Non-financial foreign entity [NFFE] – Non-US entity that is not a financial institution [including a territory NFFE]. Following NFFEs are excluded from FATCA reporting – (a) Publicly traded corporation / listed companies; (b) Related Entity of a listed company; and (c) Active NFFE

d. Active NFFE – Any one of the following –

- Less than 50% of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and < 50% of the assets held by NFFE are assets that produce or are held for the production of passive income;
- NFFE is organized in US territory & all of the owners are bonafide residents of US Territory;
- Is a government [other than US Govt.], a political sub-division of such govt., or a public body performing a function of such govt. or a political sub-division thereof, a govt. of US Territory, an international organization, a non-US central bank of issue, or an entity wholly owned by one of the foregoing;
- Substantially all of the activities of the NFFE 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 NFFE shall not qualify for this status if the NFFE functions (or holds itself out) 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;
- The NFFE 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 NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE;
- The NFFE 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;
- The NFFE 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;
- The NFFE is an "excepted NFFE" as described in relevant U.S. Treasury Regulations; or
- The NFFE meets all of the following requirements: -
 - i. It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence 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;
 - ii. It is exempt from income tax in its jurisdiction of residence;
 - iii. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - iv. The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE 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 NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and e. The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents require that, upon the NFFE'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 NFFE's jurisdiction of residence or any political subdivision thereof.

e. Expanded affiliated group – One or more chains of members connected through ownership (50% or more, by vote or value) by a common parent entity if the common parent entity owns stock or other equity interests meeting the requirements in at least one of the other members

f. Passive NFFE - means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations

g. Passive Income – portion of gross income that consists of dividends, interest, rents and royalties (other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE), income equivalent to interest / amount received from pool of insurance contracts, annuities, excess of gains over losses from the sale or exchange of property / from transactions (including futures, forwards or similar transactions) in any commodities but not including

(i) any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation or

(ii) active business gains or losses from the sale of commodities but only if substantially all the foreign entity's commodities are property, excess of foreign currency gains over losses, net income from notional principal contracts, amounts received under cash value insurance contracts, amounts earned by insurance company in connection with its reserves for insurance and annuity contracts

h. Controlling Persons - means the natural persons who exercise control over an entity. In the case of a trust, such term 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, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

CAN REGISTRATION - TERMS AND CONDITIONS

A General Instructions:

- 1 The CAN Registration Form should be completed in ENGLISH and in BLOCK LETTERS only.
- 2 Please tick in the appropriate box for relevant options wherever applicable. Do not overwrite.
- 3 For any correction / changes if made in the CAN Registration Form, the Applicant(s) shall enter the correct details pursuant to cancellation of incorrect details and authenticate the corrected details by counter-signing against the changes. Applications with any such changes not counter-signed by the applicants are liable for rejection.
- 4 Information marked (*) are mandatory.
- 5 Upon successful CAN creation, MFU will map with this CAN, the folios matching the CAN combination, which are already existing or created in future with the participating Mutual Funds or Mutual Funds that would participate in MFU in future.
- 6 The information that is captured as default under the CAN shall be considered final and over-riding the existing default information prevalent in the folios that are mapped with the CAN.

B KYC Compliance:

- 1 Compliance with KYC requirements is mandatory for all applicants.
- 2 If you are already KYC compliant, please quote the PAN for the applicant and enclose a copy of the KYC Acknowledgement Letter issued by any SEBI registered KRA. If not, please submit a KYC Registration form with necessary supporting documentary evidence alongwith the CAN Registration form. KYC Registration forms will be accepted only with CAN Registration.
- 3 The investors who are exempt from providing a PAN for their Mutual Fund investments, should quote their PAN Exempt KYC Reference No (PEKRN) obtained from KYC Registration Agency (KRA) and attach a copy of the KYC acknowledgement letter along with the CAN Registration form.
- 4 On successful validation of the applicant/s PAN/PEKRN for KYC with the KRA, the address as available with the KRA will be obtained and all communications and payments shall be made by the MFU / Mutual Fund to that address only. The address provided in the CAN Registration form will be used only for communications till the KYC status is verified at the KRA.

C Applicant Details:

- 1 The name of the applicant should be mentioned in full and the Date of Incorporation, Commencement of business (as registered with the KRA) and the applicant status should be mandatorily provided.
- 2 If there are any discrepancies between the information provided in the CAN and as available with the KRA, the application is liable for rejection.

D Contact Details:

- 1 Contact details like Contact person's name, designation, telephone, mobile and email address must be written in full.
- 2 If the applicant has provided an email address, the same will be registered in our records and will be treated as your consent to receive Allotment confirmations, consolidated account statement / account statement, annual report / abridged summary and any statutory / other information as permitted via electronic mode /email .
- 3 Should the applicant experience any difficulty in accessing the electronically delivered documents, the applicant shall promptly intimate MFU / Mutual Fund about the same to enable MFU / Mutual Fund to make the delivery through alternate means.
- 4 The MFU / AMC / Mutual Fund reserve the right to send any communication in electronic / physical mode.

E Bank Account Details:

- 1 An applicant at the time of CAN Registration must provide the details of the bank account (i.e. account into which redemption / dividend proceeds are to be paid) in the Application Form. The same is mandated to be provided under SEBI Regulations.
- 2 Please provide your complete bank account details including Account Number, Account Type, Bank, Branch & City. Please also specifically state the MICR Code (9 Digit Number next to your cheque number) and IFSC Code (11 character code printed on your cheque leaf) to facilitate electronic payment of your dividend payout entitlement / redemption proceeds.
- 3 The applicant is required to submit any one of following as a documentary proof along with the application form validating that bank account pertain to the Applicant:
 - (i) Original bank statement reflecting the Applicant Name, Bank Account Number and Bank Name as specified in the application OR Cancelled original cheque leaf of the bank account (where the account number and applicant name is printed on the face of the cheque). Applicant should without fail cancel the cheque and write 'Cancelled' on the face of it to prevent any possible misuse;
 - (ii) Photocopy of the bank pass book or a statement of bank account with current entries not older than 3 months having the name and address of the applicant and account number, duly attested by the bank manager with his / her full signature, name, employee code, bank seal and contact number;
 - (iii) A letter from the bank on its letterhead duly signed by the bank manager with his / her full signature, name, employee code, bank seal and contact number, certifying that the applicant maintains an account with the bank, the bank account information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available).
- 4 Please note the above documents shall be submitted in Original. If copies are furnished, the same must be submitted along with the Original documents at Points of Service (POS) of MFU where they will be verified with the original documents to the satisfaction of MFU.
- 5 The original documents will be returned across the counter after due verification. In case the original of any document is not produced for verification, the copies should be attested by the bank manager with his / her full signature, name, employee code, bank seal and contact number .
- 6 In case the proof provided is different from the information provided, the Bank account will not be registered under the CAN. However, if minor discrepancies are found between the Bank Account Details furnished in the form vis-a-vis the proofs provided, MFU may at its discretion, update the bank details as appearing in the proofs provided.
- 7 Applications for CAN registration submitted without any of the above mentioned documents relating to bank account details will be treated as invalid and liable to be rejected.
- 8 Your dividend payout entitlement / redemption proceeds would be credited to your default and primary bank mandate electronically, as per the arrangement of respective Mutual Fund with the bank, subject to availability of complete bank account details (including core-banking account number and MICR/IFSC code of your bank / branch).
- 9 If you wish to receive payments by cheque instead of electronic payments, please tick the check-box provided for the purpose.
- 10 **Multiple Bank Account Registration:**
An applicant may register multiple bank accounts (up to 5 during CAN Registration) for receiving redemption/ dividend proceeds etc. by providing necessary documents.
- 11 The bank details provided under Section E (a) in the CAN Registration form shall be considered as the default and primary bank account for the purpose of redemption / dividend payouts. In case the applicant(s) wish to change the default account registered under the CAN at any point of time, they may do so by submitting a written request at an MFU Point of Service.
- 12 **Indian Financial System Code (IFSC):**
IFSC is a 11 digit number given by some of the banks on the cheques. IFSC will help to secure transfer of redemption and dividend payouts via the various electronic mode of transfers that are available with the banks.

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F Depository Account Details :

- 1 Investors have an option to hold the Units in their depository account subject to the facility being available under the respective scheme chosen for investment.
- 2 Investors desiring to get the units credited in their depository account must have a beneficiary account with a Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depository Services Limited (CDSL).
- 3 If you wish to hold your investments in the depository account, you can choose to register the DP ID of your Depository Participant and your Beneficiary Account Number under the CAN.
- 4 You can register ONE Depository account each per Depository i.e. NSDL and CDSL. Please attach a latest copy of the Client Master or the DP statement that you may have received from your Depository Participant as a documentary evidence.
- 5 Names, mode of holding, PAN details, etc. of the Investor will be verified against the Depository data.
- 6 This provision in the CAN Registration Form is only for Registration of your Depository Account under the CAN with MFU. In case you wish to receive the credit of units into your depository account, you will have to specify the same every time you make a purchase of units.
- 7 Applicants must ensure that the name as mentioned in the application form matches with that of the account held with the Depository Participant. If the details mentioned in the application are incomplete / incorrect or not matched with the Depository data, the Depository Account registration under the CAN would be rejected.
- 8 For units that are credited to the depository account, all details such as address, bank details, nomination etc. will be applicable as available in the respective depository account. For effecting any subsequent changes to such information, Investors should approach their DP.
- 9 Please note that this is an additional facility offered to unit holders who wish to hold units in the depository account. This is not a mandatory requirement and unit holders can continue holding units electronically with the Mutual Fund.
- 10 For schemes where units are to be mandatorily held in the depository account, investors should provide atleast one depository account detail. Else the application is liable for rejection.

G Other Details:

The applicant is required to mention the Gross Annual Income, Networth as on a specific date, the involvement in any of the services detailed in the respective section provided for the purpose.

H Ultimate Beneficial Owner:

- 1 Applicants falling under the category of Non-Individuals should fill the form detailing the Ultimate Beneficial Owner/s (UBO) of the investments made under the applicant's name using the UBO form and attach it with the CAN registration form.
- 2 Please refer to the UBO form and relevant instructions provided before filling the UBO form.

I Details under Foreign Tax Laws:

- 1 **Details under FATCA / Foreign Tax Laws:** Tax Regulations require us to collect information about each investor's tax residency. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in information provided, please ensure that you advise us promptly, i.e. within 30 days.
- 2 If you are a US citizen or resident or green card holder, please indicate United States in the "Country of Tax Residency" field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act, 2010.

J Declaration and Signatures:

The Application should be signed in English or in any Indian Language by Authorized Signatories and be stamped with the Official Seal of the Non-individual applicant.

K Documents to be attached:

Applicants are requested to submit necessary documentary evidence as listed below (duly attested or certified true copies) for the information provided in the respective

- (1) PAN proof
- (2) Proof of KYC
- (3) Board Resolution
- (4) Authorized Signatory List
- (5) Proof of Bank Account for Bank Mandates registered under the CAN
- (6) Proof of Depository Account for Depository accounts registered under the CAN.

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