

Common Application Form

THE APPLICATION FORM SHOULD BE FILLED IN BLOCK LETTERS WITHIN THE BOXES ONLY

Application No:



SUNDARAM MUTUAL

Please refer to Riskometer details available on cover page of this KIM and Your Guide to fill the Application Form before proceeding.

Distributor ARN	Sub Distributor ARN	Internal Sub-Broker/Sol ID	EUIN*	Employee Code	PMRN / RIA Code	ISC Date Time Stamp Reference No.

Upfront commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor.

* Declaration for "Execution only" transaction (only where EUIN box is left blank) ☐ I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder

TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY. In case the subscription amount is ₹ 10,000 or more and your Distributor has opted to receive Transaction Charges, the same are deductible as applicable from the purchase/ subscription amount and payable to the Distributor. Units will be issued against the balance amount invested.

☐ I confirm that I am a first time investor across Mutual Funds-₹150.

☐ I confirm that I am an existing investor in Mutual Funds-₹100.

1. MODE OF HOLDING			2. Existing Folio no:	(If you have an existing folio with KYC validated, please mention here and skip to Investment & Payment section)
<input type="checkbox"/> Single	<input type="checkbox"/> Joint	<input type="checkbox"/> Anyone or Survivor		
UNIT HOLDING OPTION			Depository Participant Name ↓	
<input type="checkbox"/> Physical Mode			<input type="checkbox"/> Demat Mode	

Demat Account Details of First / Sole Applicant
(Name of First / Sole Applicant as per demat account)

Investor willing to invest in Demat option, may provide a copy of the DP Statement enabling us to match the Demat details as stated in the application form.

NSDL	DPID	Beneficiary ID	CDSL	DPID	Beneficiary ID

Note: Please attach copy of Client Master List.

Status	Resident Individual	Non Resident	Company	HUF	Minor	Society	FII	PIO	Partnership Firm	Proprietor	NPO	Trust	Others
1st Holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Specify
2nd Holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Specify
3rd Holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Specify

3. FIRST HOLDER DETAILS

Name																														
PAN																														
CKYC KIN																														
Mobile No*	Incise of minor, provide guardian mobile no										Email ID*										Incise of minor, provide guardian email ID									

E-mail ID: ☐ Self OR ☐ Family Member (Relationship).....*Mandatory

Default Communication mode is E-mail only, if you wish to receive following document(s) via physical mode: Please tick (✓) ☐ Account Statement ☐ Annual Report ☐ Other Statutory Information

Note Primary holder(s) / guardian own email address and mobile number should be provided for speed and ease of communication in a convenient and cost effective manner, and to help prevent fraudulent transactions.

Father / Guardian / PoA Name																				
PAN																				
CKYC KIN																				
Relationship of guardian																				

SECOND HOLDER DETAILS

Name																				
PAN																				
CKYC KIN																				

THIRD HOLDER DETAILS

Name																				
PAN																				
CKYC KIN																				

4. INVESTMENT & PAYMENT DETAILS				Payment Type <input type="checkbox"/> Third Party Payment (Please attach 'Third Party Payment Declaration Form') <input type="checkbox"/> Non Third Party Payment						
Scheme Name	Scheme-1			Scheme-2			Scheme-3			
Plan	<input type="checkbox"/> Regular	<input type="checkbox"/> Direct		<input type="checkbox"/> Regular	<input type="checkbox"/> Direct		<input type="checkbox"/> Regular	<input type="checkbox"/> Direct		
Option	<input type="checkbox"/> Growth	<input type="checkbox"/> Income Distribution cum Capital Withdrawal (IDCW)		<input type="checkbox"/> Growth	<input type="checkbox"/> Income Distribution cum Capital Withdrawal (IDCW)		<input type="checkbox"/> Growth	<input type="checkbox"/> Income Distribution cum Capital Withdrawal (IDCW)		
		<input type="checkbox"/> Payout			<input type="checkbox"/> Payout			<input type="checkbox"/> Payout		
		<input type="checkbox"/> Reinvestment			<input type="checkbox"/> Reinvestment			<input type="checkbox"/> Reinvestment		
		<input type="checkbox"/> Transfer*			<input type="checkbox"/> Transfer*			<input type="checkbox"/> Transfer*		
	IDCW Frequency (For Fixed Income Funds only):			IDCW Frequency (For Fixed Income Funds only):			IDCW Frequency (For Fixed Income Funds only):			
	(applicable as per SID & KIM of respective Funds)			(applicable as per SID & KIM of respective Funds)			(applicable as per SID & KIM of respective Funds)			
	*Transfer (IDCW) Target Scheme			*Transfer (IDCW) Target Scheme			*Transfer (IDCW) Target Scheme			
	<input type="checkbox"/> Regular Growth <input type="checkbox"/> Direct Growth			<input type="checkbox"/> Regular Growth <input type="checkbox"/> Direct Growth			<input type="checkbox"/> Regular Growth <input type="checkbox"/> Direct Growth			
(*If target scheme is not mentioned for Transfer (IDCW), default scheme is "Sundaram Money Fund and sub-option Growth") Any / each correction carried out in selecting the target scheme has to be counter-signed by the investor(s) to make it a valid selection										
Payment Mode	<input type="checkbox"/> OTM <input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS <input type="checkbox"/> Fund Transfer			<input type="checkbox"/> OTM <input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS <input type="checkbox"/> Fund Transfer			<input type="checkbox"/> OTM <input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS <input type="checkbox"/> Fund Transfer			
Reference No.										
Amount	Figures:									
	Words:									
Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> NRO	<input type="checkbox"/> NRE	<input type="checkbox"/> Current	<input type="checkbox"/> FCNR	<input type="checkbox"/> Others	Drawn on Bank, Branch			

5. BANK ACCOUNT DETAILS FOR PAYOUT																				
IFSC CODE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	MICR	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Bank Account No	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Bank Name											Bank Branch									
Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> NRO	<input type="checkbox"/> NRE	<input type="checkbox"/> Current	<input type="checkbox"/> FCNR	Others →					Please specify									

6. LEGAL ENTITY IDENTIFIER (Mandatory) - (Only for Non-Individuals including HUF)																							
VALIDITY DATE OF LEI				D	D	M	M	Y	Y	Y	Y												

Address of First / Sole Applicant			
Town:	City/District:	State:	PIN Code:

Overseas Address (in case of NRIs/FIIs) (Mandatory)

Mode of SIP										<input type="checkbox"/> OTM/NACH (please submit SIP Registration Form)	Each SIP Amount ₹																
SIP Period		SIP Starting		M	M	Y	Y	Y	Y	End Month/Year (Default Dec 2099):										M	M	Y	Y	Y	Y	<input type="checkbox"/> Till Further Notice*	
(*The end date – 01/12/2099 as end date. If not specified by the investor. This will be considered in both Online and Physical modes) (refer Guide to investing through SIP)																											
SIP Date		SIP Date:(for Monthly : Any Day of the Month; for Quarterly : Any Day of the month for each quarter).																									
SIP Frequency		<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> For Fixed Income <ul style="list-style-type: none"> <input type="checkbox"/> Weekly • Weekly every Wednesday (For Minimum amount of ₹ 1000, Minimum No. of installments is 5) <input type="checkbox"/> Monthly • Monthly (For Minimum amount of ₹ 250, minimum No. of installments is 20) <input type="checkbox"/> Quarterly • Quarterly (For Minimum amount of ₹ 750, minimum No. of installments is 7) </div> <div style="width: 48%;"> For Equity <ul style="list-style-type: none"> <input type="checkbox"/> Weekly every Wednesday (For Minimum amount of ₹ 1000, Minimum No. of installments is 6) <input type="checkbox"/> Monthly (For Minimum amount of ₹ 100, minimum No. of installments is 6) <input type="checkbox"/> Quarterly (For Minimum amount of ₹ 750, minimum No. of installments is 6) </div> </div>																									

Normal STP			SWP		
Source Scheme			Scheme		
Target Scheme					
Amount (figures)			Amount (figures)		
Amount (words)			Amount (words)		
Frequency	Daily / Weekly / Monthly / Quarterly		Frequency	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	
Preferred STP date	Please tick <input type="checkbox"/> 1 <input type="checkbox"/> 7 <input type="checkbox"/> 14 <input type="checkbox"/> 20 <input type="checkbox"/> 25		Preferred SWP date	1st working day of the month/quarter	
STP Period	From Date	To Date	SWP Period	From Date	To Date

FATCA-CRS Instructions

Details under FATCA-CRS/Foreign Tax Laws: 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 certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any **change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days**. 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. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If you are a US citizen or resident or greencard holder, please include United States in the Country of Tax Residence 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.

\$ 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 with supporting documents and attach this to the form.

10. Declaration: I/We • having read and understood the contents of the Statement of Additional Information/Scheme Information Document/addenda issued to the SID and KIM till date • hereby apply for units under the scheme(s) as indicated in the application form • agree to abide by the terms, conditions, rules and regulations of the scheme(s) • agree to the terms and conditions for OTM/NACH • have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment • do not have any existing Micro SIPs/investments which together with the current application will result in the total investments exceeding ₹ 50,000 in a financial year or a rolling period of twelve months (applicable for PAN exempt category of investors). The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

Applicable to NRIs only: Please (✓) ☐ I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account on a ☐ Repatriation Basis ☐ Non-Repatriation Basis. I/We further declare that I/We am/are not a citizen of USA/Canada.

I/We hereby declare that all the particulars given herein are true, correct and complete to the best of my/our knowledge and belief. I/We further agree not to hold Sundaram Asset Management, its sponsor, their employees, authorised agents, service providers, representatives of the distributors liable for any consequences/losses/costs/damages in case of any of the above particulars being false, incorrect or incomplete or in case of my/our not intimating/delay in intimating any changes to the above particulars. I/We hereby authorise Sundaram Asset Management 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 any Indian or foreign governmental or statutory or judicial authorities/agencies, the tax/revenue authorities, other investigation agencies and SEBI registered intermediaries without any obligation of advising me/us of the same. I/We hereby agree to provide any additional information/documentation that may be required in connection with this application.




Certification: I/We have understood the information requirements of this Form (read along with the FATCA-CRS Instructions) and hereby certify that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA-CRS Terms and Conditions and hereby accept the same.

I/We agree to indemnify Sundaram Asset Management Company Limited in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. person" status for U.S. federal income tax purposes. or in respect of any other information as may be required under applicable tax laws.

Stamp Duty: Pursuant to Notification No. S.O. 1226(E) and G.S.R. 226(E) dated March 30, 2020 issued by Department of Revenue, Ministry of Finance, Government of India, read with Part I of Chapter IV of The Finance Act, 2019, notified on February 21, 2019 issued by Legislative Department, Ministry of Law and Justice, Government of India, a stamp duty @0.005% of the transaction value of units would be levied on applicable mutual fund inflow transactions, with effect from July 1, 2020. Accordingly, pursuant to levy of stamp duty, the number of units allotted on purchase transactions (including reinvestment IDCW and switch-in) to the Unit holders would be reduced to that extent.

☐ **(Applicable only for investments through RIA) RIA/PMRN Consent Declaration:** I/We, the above-named person/s have invested in the Scheme(s) of Sundaram Mutual Fund under Direct Plan under the above mentioned Account No(s)/Folio No(s).
I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the below mentioned Mutual Fund Distributor/SEBI-Registered Investment Advisor/Portfolio Manager:

AMFI Registration Number ARN -	SEBI Registration No.
Name:	
Address	
City	
PIN	
E-Mail ID	
Tel.No	

Name of First / Sole Applicant / Guardian	Name of Second Applicant	Name of Third Applicant
 Signature of First / Sole Applicant / Guardian	 Signature of Second Applicant	 Signature of Third Applicant

Particulars				
Scheme Name / Plan / Option / Sub-option	Goal	Cheque / DD / Payment Instrument Number / Date	Drawn on (Name of Bank & Branch)	Amount in figures (₹) & Amount in words
	<input type="checkbox"/> Lumpsum Purchase <input type="checkbox"/> SIP			