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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 registered.

a. Default and Primary Bank Mandate for Par				
	<u>yout (1)</u>			
*A/c No.				*A/c Current Cash Credit O/D Others
*MICR	*IFSC			Please ( $\checkmark$ ) Savings FCNR NRSR Please Specify
Bank Name		Branch Name		City
*Proof of Account (refer instructions)	Cancelled Cheque or Copy <sup>\$</sup>	Bank Passl	book Bank Sta	Letter from Bank confirming the Account
If you wish to register for Pay <i>Eezz</i> <sup>#</sup> , please		•		
Payout proceeds will be processed into the bank through E # - PayEezz is a facility to register a debit mandate once	and use it for future payments for lump sun	or SIP investments. Please		
\$ - Please ensure that the cancelled cheque or any other	r proof of account submitted contains the h	ilder's name.		
b. Additional Bank Mandate for Payout (2)				
*A/c No.		+ $+$ $+$ $+$ $+$		*A/c Current Cash Credit O/D Others
*MICR	*IFSC			Type Please (✓) Savings FCNR NRSR Please Specify
Bank		Branch		City
Name *Proof of Account (refer instructions)	Cancelled Cheque or Copy <sup>s</sup>	Bank Pass	pook Bank Stat	tement Letter from Bank confirming the Account
If you wish to register for PayEezz <sup>#</sup> , please				
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# - PayEezz is a facility to register a debit mandate once a \$ - Please ensure that the cancelled cheque or any other			e refer instructions for more detail	S.
c. Additional Bank Mandate for Payout (3)				
*A/c No.				*A/c Current Cash Credit O/D Others
	*IFSC			Type Please (<) Savings FCNR NRSR Please Specify
Bank Name		Branch Name		City
*Proof of Account (refer instructions)	Cancelled Cheque or Copy <sup>\$</sup>	Bank Pass	book Bank Sta	tement Letter from Bank confirming the Account
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If you wish to register for PayEezz <sup>#</sup> , pleas Payout proceeds will be processed into the bank through E # - PayEezz is a facility to register a debit mandate once	LECTRONIC payment, basis arrangement of th	e respective Mutual Fund w	ith its banker. If you wish to receive	
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		Benefits of MF Utility	
С	Account Number (CAN)	Single reference number for all investments in the Mutual Fund Industry.	
0	Transaction Form (CTF)	Single form for transactions in multiple schemes across Mutual Funds	
м	Payment	Consolidated payment for investments in multiple schemes across Mutual Funds using a single CTF	
м	KYC Process	Single KYC verification/registration at the time of CAN creation	
0	Mandate Registration (PayEezz)	Single Mandate registered for lump sum and SIP payments	
N	Complaints System	Single place for registering and tracking complaints for the Mutual Industry	



# MF Utilities India Pvt. Ltd.

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

Thane (West) - 400 610 CIN : U74120MH2013PTC242939

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		(or)	1				name b	,			.,				.,, p.c	p1		<b>.</b>						3		
	0	Direct reporti	ing NFI	E			Name	of the Spor	soring	entity:																ļ
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		ase tick (✓) as N not available		opriate		$ \square $	) App	lied For			<b>О</b> No	tohtain	ed - Non pa	rticinatin	7 FI											_
		ease tick (✓) a		icable)							-				5		(Re	efer 1A	of Par	tC)						
		B: (please			) and								its of sub-ca		r tha	n Di		_			Es)					
		Is the Entity a		•			-	2 40 up					tock exchar					•		0.11	1					
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		established se	ecuriti	es mar	ket) <mark>(Re</mark>	fer 2A o	of Part C)		5	Securi	ty ISIN	N														
													he listed co	mpany a	nd one	stock	exchan	ge on	which	the stoo	ck is reg	ularly	trade	d)		
		Is the Entity a	a relat	ed ent	ity of a	publicly	y tradec	l company	?   <sup>N</sup>	ame of	the liste	ed comp	any												-	
	0	(a company w established se	vhose	shares	are reg	ularly t	raded o	n an	-	atura a	frelatio	<u>л</u> . Г	Subsidia	ny of the	lictod -	omna	21/	(OR)		ontrolle	d by a '	istad	`om	2014	-	
	-	established se	ecuriti	es mar	кet) <mark>(R</mark> e	eter 2B	of Part (	C)				ck Excha		ry of the				. ,				isted (	2011hs	ыну		
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	0	Is the Entity a (Refer 2C of P		ive NFE	?						f Busine		- F													
									P	lease sp	becify th	e sub-ca	tegory of A	ctive NFE				(Men	tion Co	ode - Re	fer 2C o	of Part	C)			
	$\sim$	Is the Entity a			?				S	pecify t	he natur	re of bus	iness and p	rovide UI	30 forr	n										
	0	(Refer 3(ii) of	f Part C	C)					N	ature o	fBusine	ss:														

## \* Declaration for Ultimate Beneficial Ownership (UBO)/Controlling persons

(Mandatory for all entities EXCEPT, Publicly Traded Company or a related entity of Publicly Traded Company)

# Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit? Yes  $\bigcirc$  No  $\bigcirc$  If YES'. Wehereby dedare that the following individual person holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.

11/10/-dealers in a manufacture in the second secon

Category (please tick applical	ble category):			
Unlisted Partner Company	ship Firm Limited Liabilit	y Partnership	Unincorporated Association/Body of Ir	ndividuals Religious Trust
Public Charitable Trust	Private Trust / Trust created by a Will	Others	please spe	cify
<b>Details of Ultimate Beneficia</b>	I Owners:- (Please list below ea	ch controlling pers	son, confirming ALL countries of Tax Residency / p	ermanent residency / citizenship and ALL
Tax Identification Numbers for EACH controll Owner-documented FFI's should provide FFI			<b>ary)</b> I required details as mentioned in Form W8 BEN E	(Refer 3(vi) of Part C)
Details	UBO-1 / Senior Managing Official (SMO)		UBO2	UBO3
Name of the UBO/SMO#				
UBO/SMO PAN# For Foreign National, TIN to be provided				
UBO/SMO Country of TAX Residency#				
UBO/SMO Taxpayer Identification Number/ Equivalent ID Number#				
UBO/SMO Identity Type				
UBO/SMO Place & Country of Birth	Place of Birth: Country of Birth:			Place of Birth: Country of birth:
UBO/SMO Nationality				
UBO/SMO Date of Birth (dd-mm-yyyy) #				
UBO/SMO PEP #	PEP () Related to PEP () Not a PEP ()		Related to PEP ()	PEP () Related to PEP () Not a PEP ()
UBO/SMO Address Type	Residence () Business () Registered Office ()			Residence (Business () Registered Office ()
UBO/SMO Occupation	Public Service () PrivateService () Business () Other ()		Private Service 🔿	Public Service () Private Service () Business ()Other ()
SMO Designation #				
UBO/SMO KYC Complied ** (If not complied, please complete KYC process independently and then submit the proof)				

#### # Mandatory Field

\*\* In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

ote: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information.

#### **FATCA - CRS Terms and Conditions**

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions 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 the AMCs. 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 any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the 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.

#### Certification

I/We 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/us on this Form is true, correct and complete. I/We hereby agree and confirm to inform MFUI/ the AMC/ the Mutual FUnd/ the Trustees for any modification to this information promptly. I/We 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)'.

Auth	orized Signatory(ies) [with Company/Trust/Firm/Body Corporate set	eal/stamp]
Name :	Name :	Name :
Designation :	Designation :	Designation :
Signature :	Signature :	Signature :
Date ://	Place :	



## **Declaration Form of Non-Profit Organization (NPO)** (Mandatory for Trust/Society)

*Investor Name					
*CAN					
*PAN					

I/We hereby confirm that above stated entity / organization is falling under **"Non-profit organization"** [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

Enclosed relevant documentary proof evidencing the above definition.

We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

Registration Number	
DARPAN portal	

\* Mandatory Field.

If not, please register immediately and confirm with the above information. In absence of receipt of the Darpan portal registration details, MF/AMC/RTA/MFU will be required to register your entity on the said portal and/or report to the relevant authorities as applicable.

I/We hereby confirm that the above stated entity / organization is **NOT** falling under Non-profit organization as defined above or in PMLA Act/Rules thereof.

I/We acknowledge and confirm that the information provided above is 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 am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [MFU/RTA/Fund/AMC/Other participating entities] to disclose, share, rely, 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 any of the 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 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/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:

Authorized Signatory	Authorized Signatory	Authorized Ciccotory
Authorized Signatory Place:	Authorized Signatory	Authorized Signatory
Date://		

# **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 prevailent in the folios that are mapped with the CAN.
- 7 AMCs may, at their discretion, request for additional documents/information from the investors, irrespective of the same being provided in the CAN registration form already.

#### 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.

#### 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 or a photocopy of the cheque duly certified to be "TRUE COPY" (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.

#### 13 PayEezz – Features and Processes

- a. "Pay Eezz" refers to the facility offered to investors holding Common Account Number ("CAN") where the investor provides a standing instruction to his bank authorizing MFU to debit his bank account quoted for an amount equivalent or less than the limit specified in the mandate, every time they make a subscription transaction quoting the PayEezzReference Number (PRN).
- b. Mobile Number & Email ID Registration: The CAN holder will necessarily have to register their Indian mobile number & email ID.
- c. A Pay*Eezz* mandate can be registered only under the bank accounts that are registered under the CAN.
- d. The process of PayEezz registration may take between 10-30 days from the time of receipt by MFUI.
- e. MFUI will communicate the successful registration of the PayEezz to the investor quoting the PayEezz Reference Number (PRN). PRN is a unique reference number allotted to each PayEezz registration.
- f. Investors can thereafter submit Lump sum investments or SIP transactions through any of the available transaction modes quoting the PRN for payment.
- g. MFUI will initiate a debit request and send the same for debit to the investor's account and credit to MFU Escrow Account.
- h. An approval is sought from the investor before initiating the debit, wherever required, depending upon the mode of the transaction.
- i. Upon receipt of the credit into the MFU Escrow Account, the money is transferred to the AMC Scheme accounts.

## **PART C: FATCA Instructions & Definitions**

## **1. Financial Institution**

- The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.
- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where it's income attributale to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-
- (i) The three financial years preceding the year in which determination is made; or
- (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:

That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or

- (ii) Individual and collective portfolio management; or
- (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;
- The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :

or

(i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or

- (ii) The period during which the entity has been in existence.
- The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 (refer point 2C.)

Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

Reasons	why FI not required to apply for GIIN:
Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, Internationa
02	Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers& Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

## 2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFI	Es that are regarded as excluded NFE are:
A. Publicly t	traded company (listed company)
A company	is publicly traded if its stock are regularly traded on one or more established securities markets
(Established	l securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a
meaningful	annual value of shares traded on the exchange)
	entity of a publicly traded company
The NFE is a	related entity of an entity of which is regularly traded on an established securities market;
C. Active NF	E : (is any one of the following):
Code	Sub-Category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding
	financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries
03	that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions 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 NFE 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
04	Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE 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;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging
06	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;
	nstrution,
	Any NFE that fulfills all of the following requirements:
	• It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in
	India 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;
	It is exempt from income tax in India;
	It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
	The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or
07	applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable
	compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country
	or territory of residence or the NFE's formation documents require that, upon the NFE'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 NFE's country or territory of residence or any political subdivision thereof.
	Explanation For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-
	(I) an Investor Protection Fund referred to in clause (23EA);
	(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and
	(III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

i) Related enti	Definitions (including UBO)
An entity is a 're	v
and value in an	
ii) Passive NFE The term passiv	
	incial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or
	in the entity defined in clause (b) of these instructions In foreign partnership or withholding foreign trust;
Note: Foreign	persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)
i <b>ii) Passive inc</b> heterm passiv	ome ve income includes income by way of :
1) Dividends,	
2) Interest 3) Income equi	ivalent to interest,
4) Rents and ro	values, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE
5) Annuities	of gains over losses from the sale or exchange of financial assets that gives rise to passive income
	gains over losses from transactions (including futures, forwards, points and similar transactions) in any financial assets,
8) The excess o 9) Net income	f foreign currency gains over foreign currency losses
	cevived under cash value insurance contracts
But passive inco lealer.	ome will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a
iv) UBO/Contr	
	on a person with the second of t
	ontrolling person 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. In the case of a control over the trust and the person exercising ultimate effective control over the trust.
	ent other than a trust, controlling person means persons in equivalent or similar positions. delines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s)
	gly, the Beneficial Owner means '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
	rest of / entitlements to: 10% of shares or capital or profits of the juridical person, where the juridical person is a company;
2) More than 1	10% of the capital or profits of the juridical person, where the juridical person is a partnership; or
	15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals. It is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the truste
	the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.
Vhere no natu	ral person is identified the identity of the relevant natural person who holds the position of senior managing official.
	Type Code of the Controlling Person:
Code 01	Sub-Category CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official CP of legal arrangement-trust-settlor
05	CP of legal analyzing mentrus trustee
06	CP of legal arrangement-trust-protector
07 08	CP of legal arrangement-trust-beneficiary CP of legal arrangement-trust-other
09	CP of legal arrangement-Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13 14	CP of legal arrangement-Other-other equivalent Unknown
v) Specified U.	S. person – A U.S person other than the following:
	n the stock of which is regularly traded on one or more established securities markets;
	tion that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i); itates or any wholly owned agency or instrumentality thereof;
	the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
5) any organiza	ation exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
	defined in section 581 of the U.S. Internal Revenue Code;
	ate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
	ate investment trust as defined in section 856 of the U.S. Internal Revenue Code; ed investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15
J.S.C. 80a-64); 9) any commo	ate investment trust as defined in section 856 of the U.S. Internal Revenue Code; ed investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 n trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
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#### G 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 or necessary documentary proof is not provided, 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.

#### H 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.

## 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 , if available

(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.

(7) Relevant documentary proof related to FATCA/CRS/UBO

### Benefits of MF Utility

С	Account Number (CAN)	Single reference number for all investments in the Mutual Fund Industry.
0	Transaction Form (CTF)	Single form for transactions in multiple schemes across Mutual Funds
м	Payment	Consolidated payment for investments in multiple schemes across Mutual Funds using a single CTF
м	KYC Process	Single KYC verification/registration at the time of CAN creation
0	Mandate Registration (PayEezz)	Single Mandate registered for lump sum and SIP payments
N	Complaints System	Single place for registering and tracking complaints for the Mutual Industry

	Common Account Number (CAN)			
0	Reference Number for all	No need to remember / maintain folios at Mutual Fund		
	Mutual Fund Investments			
N	Account Opening Process	No need to fill separate Account Opening forms for each Mutual Fund		
	Place for Investor Information	No need to submit change requests to each Mutual Fund to get changes updated to investor information		
E	View for Investments	Consolidated view of all investments across Mutual Funds		
	MIS for the Industry	No need to source & consolidate data from different Mutual Funds / RTA		

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# Common Transaction Form (CTF)

0	Form for multiple transactions	No need to fill and submit separate transaction forms for transactions in different schemes/Mutual Funds, Burden of handling multiple documents reduced.
N	Time-stamp for multiple transactions	One time-stamp applied uniformly for all transactions in the form. Burden of submitting transactions at different offices / locations reduced.
E	Payment for multiple Investments	No need to issue separate payments for different schemes/Mutual Funds. Burden of handling multiple payment instructions reduced.

#### Common Mandate Registration (PayEezz)

S	Mandate for multiple SIP	One common mandate can be registered for multiple SIPs registered under one CTF irrespective of dates,
1	Registrations	frequencies and amount.
N	Mandate for Lump sum	One common mandate can be registered under the CAN and used as a debit instruction as and when the investor
G	investments	chooses to invest in lump sum
L	Mandate for multiple payment	One common mandate registered can be used for triggering debit instructions for transactions initiated physically
E	modes	or through distributor or online

#### **Common Complaint System (CCM)**

S	Place for Registration	Complaints can be lodged at a single place for the entire Mutual Fund industry. No need to write to different
		entities at different addresses for any complaints related to Mutual Fund investments.
N	Place for Tracking	Complaints lodged can be tracked at a single place. No need to wait for the responses from the entities to know the
G		status of the complaint. The entire history of the complaints can be tracked online at one place.
L	Place for Redressal	Complaints lodged can be redressed or reassigned to an appropriate authority for resolution. The resolution status
Е		can be updated instantly at one place.