

Updation of Aadhaar, FATCA-CRS Declaration & Supplementary KYC Information Declaration Form for Individuals

Mandatory for all Applicant(s) including Joint-holder(s), Guardian (if applicable) and Power of Attorney (if any).
[Please consult your professional tax advisor on your tax residency and related FATCA & CRS compliance]

All details are mandatory. (Please ✓ wherever applicable)

Account/Folio No.

	First/Sole Applicant (In case Minor - Parent/Legal Guardian)	Second Applicant	Third Applicant
Name			
Date of Birth	<input type="text"/>	<input type="text"/>	<input type="text"/>
PAN (PAN Exempt KYC Ref. No.)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Place of Birth			
Country of Birth			
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others (Please Specify)	<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others (Please Specify)	<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others (Please Specify)
Type of Address given at KRA (Address of tax residence would be taken as available in KRA database. In case of any change, Please approach KRA & notify the changes.)	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
PEKRN/CKIN	<input type="text"/>	<input type="text"/>	<input type="text"/>
Aadhaar No. [#]	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
Documents required (if PAN not provided)	<input type="checkbox"/> Passport <input type="checkbox"/> Election ID Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Card <input type="checkbox"/> Others (Please Specify)	<input type="checkbox"/> Passport <input type="checkbox"/> Election ID Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Card <input type="checkbox"/> Others (Please Specify)	<input type="checkbox"/> Passport <input type="checkbox"/> Election ID Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Card <input type="checkbox"/> Others (Please Specify)

If Aadhaar number is applied for, please enclose proof of enrolment.

Status	First/Sole Applicant	Second Applicant	Third Applicant	Politically Exposed Person (PEP) Details*	Is a PEP	Related to PEP	Not Applicable
Resident Individual				First/Sole Applicant			
NRI/PIO				Second Applicant			
Sole Proprietorship				Third Applicant			
Minor through Guardian				Guardian			
Others	(Please Specify)	(Please Specify)	(Please Specify)	Others	(Please Specify)	(Please Specify)	(Please Specify)

Occupation	First/Sole Applicant	Second Applicant	Third Applicant	Income Slab	First/Sole Applicant	Second Applicant	Third Applicant
Private Sector				Below 1 Lac			
Public Sector				1 Lac - 5 Lac			
Government Service				5 Lac - 10 Lac			
Business				10 Lac - 25 Lac			
Professional				25 Lac - 1 Crore			
Agricultural				Above 1 Crore			
Retired				Net worth in ₹ (Not older than 1 year)	as on _____	as on _____	as on _____
Housewife							
Student							
Others	(Please Specify)	(Please Specify)	(Please Specify)				

FATCA-CRS Declaration & Supplementary Information/Foreign Tax Laws

The below information is required for all applicant(s)/Guardian :

Category	First/Sole Applicant	Second Applicant/Guardian	Third Applicant
Are you a tax resident (i.e. are you assessed for Tax) in any other country outside India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'NO' please proceed for the signature of declaration If 'YES', Please fill, for ALL countries (other than India) in which you are a Resident for tax purposes i.e. where you are a Citizen/Resident/Green Card Holder/Tax Resident in respective countries			
Country of Tax Residency			
Tax Identification Number or Functional Equivalent			
Identification Type (TIN or Other, please specify)			
If TIN is not available, please tick ✓ the reason, A, B or C [as defined below]	Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Reason A → The country where the Account Holder is liable to pay tax does not issue Tax Identification Number to its residents. Reason B → No TIN required (Select the reason only if the authorities of the respective country of tax residence do not require the TIN to be collected.) Reason C → Others, please state the reason thereof : _____			

*PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

Consent :

I / We hereby provide my / our consent in accordance with Aadhaar Act, 2016 and regulations made there under, for (i) collecting, storing and usage (ii) validating / authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made there under) and PMLA. I / We hereby provide my / our consent for sharing / disclose of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios with my / our PAN.

Declaration :

I hereby confirm that the information provided here in above is true, correct, and complete to the best of my knowledge and belief and that I shall be solely liable and responsible for the information submitted above. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions below and hereby accept he same. I also under take to keep you informed in writing about any changes/modification to the above information in future within 30days of the same being effective and also undertake to provide any other additional information as may be required any intermediary or by domestic or overseas regulators/ tax authorities.

Signatures

Sole/1st Applicant/Guardian	Second Applicant	Third Applicant
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Date: Place:

For your convenience, Karvy Computershare Pvt Ltd (Registrar & Transfer Agent for Principal Mutual Fund) is collecting this mandatory information for authentication and seeding the Aadhaar Number.

Please submit the form duly filled, signed, for all the holders and submit at your nearest Karvy Computershare Pvt Ltd branch or you can dispatch the hard copy to:

Karvy Computershare Pvt. Ltd.,

Karvy Selenium Tower B, Principal Mutual Fund/Unit - CPZ - Aadhaar Updation,

Plot Nos. 31 & 32 | Financial District | Nanakramguda Serilingampally Mandal | Hyderabad - 500032 | India.

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies.

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 (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA & CRS Instructions & Definitions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following India pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: a. Certified Copy of "Certificate of Loss of Nationality b. or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; c. or Reason the customer did not obtain U.S. citizenship at birth
Residence/ mailing address in a country other than India	4. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 5. Documentary evidence (refer list below)
Telephone number in a country other than India	6. If no Indian telephone number is provided 7. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 8. Documentary evidence (refer list below) 9. If Indian telephone number is provided along with a foreign country telephone number 10. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR 11. Documentary evidence (refer list below)

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

- Certificate of residence issued by an authorized government body*
- Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

* **Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

Updation of Aadhaar

Ministry of Finance (Dept. of Revenue) in consultation with Reserve Bank of India (RBI) has issued a Notification No 439 dated June1, 2017, carrying out certain amendments to Prevention of Money Laundering (Maintenance of Records) Rules, 2005.

As per the new rules, linking of Aadhaar number with Mutual Fund investments is mandatory, for all the holders., failing which, the folios shall cease to be operational post March 31, 2017. Investor will only be able to transact upon successfully seeding the folios with Aadhaar.

This requirement being mandatory the purpose of collection/usage of Aadhaar number including demographic information is to comply with applicable laws / rules / regulations. Post obtaining the Aadhaar number, the same shall be authenticated in accordance with the Aadhaar Act, 2016. Your demographic information shall be used only to comply with applicable laws / rules / regulations.

In accordance with the amendment to Prevention of Money Laundering Act (PMLA) Rules, 2017 dated June 1, 2017, Mutual Funds are mandated to obtain Aadhaar Number ("Aadhaar") from their investors and link the same to his/her/their respective folios. As per the new rules linking of Aadhaar with Mutual Fund investments is mandatory, for all the Unit holders. Failing which, the folios may be made inoperative. Accordingly, the investors are requested to note the following:

- Every individual applicant shall submit the Aadhaar number.
- The applicants intending to hold units allotted in dematerialized mode, shall update the Aadhaar details in their Demat Accounts held with depository participants.

The purpose of collection/usage of Aadhaar including demographic information is to comply with applicable laws / rules / regulations and provision of the said data is mandatory as per applicable laws / rules / regulations. Post obtaining Aadhaar, Principal Pnb AMC / Fund/RTA shall authenticate the same in accordance with the Aadhaar Act, 2016. Principal Pnb AMC / Fund/RTA shall receive investor's demographic information which shall be used only to comply with applicable laws / rules / regulations. Submission of Aadhaar details does not warranty linking of Aadhaar in the investor Folios. The request for Aadhaar updation will be subject to:

- Aadhaar details provided is correct;
- Investor name & Date of Birth to be mentioned should be identical to that appearing in Aadhaar.
- Investor details matching with details available with UIDAI;
- Authentication with UIDAI database & other required validations is successful.
- Aadhaar will be updated in ALL his / her / their foilo(s) held with the Fund, where PAN is already registered.