



## SHRIRAM LONG TERM EQUITY FUND

An Open Ended Equity Linked Saving Scheme with a Statutory Lock in of 3 Years and Tax Benefit

Scheme Code: SHRI/O/E/ELS/18/11/0003

This product is suitable for investors who are seeking\*:

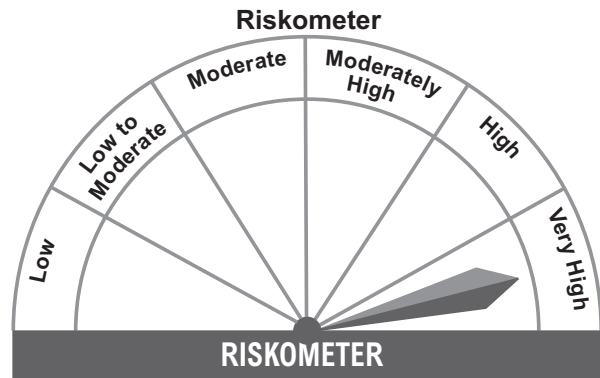
- Long term capital appreciation with a 3 years lock in and tax benefit
- Investment in diversified portfolio of predominantly equity & equity-related securities.
- Very High risk

\*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.

Note: Risk is represented as :

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- Low - Principal at low risk
- Low to Moderate- Principal at low to moderate risk
- Moderate - Principal at moderate risk
- Moderately High - Principal at moderately high risk
- High - Principal at high risk
- Very High - Principal at very high risk



Investors understand that their principal will be at very high risk

Continuous offer for Units at NAV related price

### KEY INFORMATION MEMORANDUM CUM APPLICATION FORM

#### Sponsors

Shriram Credit Company Limited  
CIN : U65993TN1980PLC008215

#### Registered Office

Shriram House, No. 4, Burkit Road  
T. Nagar, Chennai-600 017

#### Asset Management Company

Shriram Asset Management  
Company Limited  
CIN : L65991MH1994PLC079874

#### Registered Office

217, 2nd Floor, Swastik Chambers,  
Near Junction of S.T. & C.S.T. Road,  
Chembur, Mumbai - 400 071, India  
Website : [www.shriramamc.in](http://www.shriramamc.in)

#### Administrative HO

511-512, Meadows, Sahar Plaza,  
J. B. Nagar, Andheri (East),  
Mumbai - 400 059

#### Trustee

Board of Trustees  
**Shriram Mutual Fund**  
Shriram House  
No. 4 Burkit Road, T. Nagar  
Chennai - 600 017

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website [www.shriramamc.in](http://www.shriramamc.in)

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

The date of this Key Information Memorandum : October 30, 2023





### Instructions to fill OTA

1. UMRN is auto generated during mandate creation and is mandatory to be updated during amendment and cancellation of mandate. (maximum length - 20 Alpha Numeric Characters)
2. Date in DD/MM/YYYY format.
3. Tick on box to select type of actions to be initiated.
4. Tick on box to select type of actions to be affected.
5. Customer's legal account number, left padded with zeroes. (Maximum length - 35 Alpha Numeric Characters)
6. Name of the Bank and Branch.
7. IFSC/MICR code of customer bank. (Maximum length - 11 Alpha Numeric Characters)
8. Amount payable for service of maximum amount per transaction that could be processed, in words.
9. Amount figures, similar to the amount mentioned in words (Maximum length - 13 digits Numeric, in paisa)
10. Mention Loan Account number.
11. Type of loan in Reference Box.
12. Tick on box to select frequency of transaction.
13. Validity of mandate with dated in DD/MM/YYYY format.
14. Names of customer/s and signatures as well as seal of Company (where required). (Maximum length of Name 40 alpha Numeric Characters)
15. Undertaking of customer.
16. Telephone no. with STD code of customer or 10 digit mobile number of customer.
17. Mail of customer.



## NAME OF SCHEME

### SHRIRAM LONG TERM EQUITY FUND

#### TYPE OF SCHEME :

An Open Ended Equity Linked Saving Scheme with a Statutory Lock in of 3 years and Tax Benefit

#### INVESTMENT OBJECTIVE :

The primary investment objective of the Scheme is to generate income and long-term capital appreciation from a diversified portfolio of predominantly equity and equity related securities and enable investors to avail the income tax rebate, as permitted from time to time.

However, there is no assurance or guarantee that the investment objective of the Scheme will be achieved. The Scheme does not assure or guarantee any returns.

#### ASSET ALLOCATION PATTERN

Under normal circumstances, the anticipated asset allocation pattern of the Scheme would be as under:

	Indicative Allocation		Risk Profile
	Minimum	Maximum	
A. Equity and Equity Related Securities #	80%	100%	Medium to High
B. Debt & Money Market Instruments #	0%	20%	Low

# including Derivative instruments.

Debt securities shall be deemed to include securitised debts (excluding foreign securitised debt) and investment in securitised debts shall not exceed 50% of the debt component of the Scheme. Investments may be made in foreign debt securities not exceeding 20% of the debt component of the Scheme. However, investments made in foreign debt securities would not include investment in foreign securitised debt. All investments in foreign securities shall adhere to relevant SEBI circulars issued in this regard.

Investments may be made in GDRs/ADRs not exceeding 20% of the net assets scheme. The above percentages will be reckoned at the time of investment and the above allocation is based on a steady state situation.

Presently the AMC does not have approval to invest in foreign securities. It will take the necessary approvals from SEBI & RBI before commencing investments in foreign securities.

Investment in Derivatives – up to 50% of the net assets of the Scheme. Investment in derivatives shall be for hedging, portfolio balancing or any other purposes as maybe permitted by SEBI from time to time.

In terms of SEBI Circular no. SEBI/IMD/CIR18/198647/2010 dated March 15, 2010; the mutual fund /AMC shall make investment out of the NFO proceeds only on or after the closure of the NFO period.

As per Para 12.24.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 "The cumulative gross exposure through equity, debt, derivative positions (including commodity and fixed income derivatives), repo transactions and credit default swaps in corporate debt securities, Real Estate Investment Trusts (REITs), Infrastructure Investment Trusts (InvITs), other permitted securities/assets and such other securities/assets as may be permitted by the Board from time to time should not exceed 100% of the net assets of the scheme."

Investment & Disclosure in the derivatives will be in line with Para 12.25 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023.

The Scheme retains the flexibility to invest across all the securities in the Equity and Equity related instruments, Debt and Money Market Instruments.

The Scheme may also invest in units of debt and liquid mutual fund schemes. As per investment restrictions specified in the Seventh schedule of SEBI (Mutual Fund) Regulations, 1996, the Scheme may invest in other schemes of the Mutual Fund or any other mutual fund without charging any fees, provided the aggregate inter-scheme investment made by all the schemes under the same management or in schemes under the management of any other asset management company shall not exceed 5% of the Net Asset Value of the Mutual Fund.

Pending deployment of the funds of the Scheme in securities in terms of the investment objective of the Scheme, the AMC may park the funds of the Scheme in short term deposits of scheduled commercial banks, subject to the guidelines issued by SEBI pursuant to Para 12.16 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 and such other guidelines as may be issued from time to time in this regard.

The Scheme may engage in Short selling of securities in accordance with the framework relating to Short Selling and securities lending and borrowing specified by SEBI.

#### Changes in Investment Pattern:

##### Rebalancing of Portfolio Rebalancing due to Short Term Defensive Consideration:

Due to market conditions, the AMC may invest beyond the range set out in the asset allocation. Such deviations shall normally be for a short term and defensive considerations as per SEBI Circular no. SEBI/HO/IMD/DF2/CIR/P/2021/024 dated March 4, 2021, and the fund manager will rebalance the portfolio within 30 calendar days from the date of deviation.

##### Rebalancing due to Passive Breaches:

Further, as per Para 2.9.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, as may be amended from time to time, in the event of deviation from mandated asset allocation due to passive breaches (occurrence of instances not arising out of omission and commission of the AMC), the fund manager shall rebalance the portfolio of the Scheme within 30 Business Days. In case the portfolio of the Scheme is not rebalanced within the period of 30 Business Days, justification in writing, including details of efforts taken to rebalance the portfolio

shall be placed before the Investment Review Committee of the AMC. The Investment Committee, if it so desires, can extend the timeline for rebalancing up to sixty (60) Business Days from the date of completion of mandated rebalancing period. Further, in case the portfolio is not rebalanced within the aforementioned mandated plus extended timelines the AMC shall comply with the prescribed restrictions, the reporting and disclosure requirements as specified in clause 2.9.3 and 2.9.4 of the Master Circular on Mutual Funds dated May 19, 2023.

#### RISK PROFILE OF THE SCHEME :

##### A. RISK FACTORS

Mutual Fund units involve investment risk including the possible loss of principal please read the SID carefully for details on Risk factors before investments.

##### I. Standard Risk Factors :

- Investment in Mutual Fund Units involves investment risks such as trading volumes, settlement risk, liquidity risk, default risk including the possible loss of principal.
- As the price / value / interest rates of the securities in which the scheme invests fluctuates, the value of your investment in the scheme may go up or down
- Past performance of the Sponsor/AMC/Mutual Fund does not indicate or guarantee the future performance of the scheme of the Mutual Fund
- Shriram Long Term Equity Fund is only the name of the Scheme and does not in any manner indicate either the quality of the Scheme, its future prospects or the returns. Investors therefore are urged to study the terms of the Offer carefully and consult their tax and Investment Advisor before they invest in the Scheme.
- The sponsor is not responsible or liable for any loss resulting from the operation of the scheme beyond the initial contribution of Rs. 1 Lakh made by it towards setting up the Fund
- The present scheme is not a guaranteed or assured return scheme
- There is no assurance or guarantee that the objective of the mutual fund will be achieved
- There is no guarantee or assurance on the frequency or quantum of IDCWs (which shall be at the discretion of the AMC/Trustee and also depend on the availability of adequate distributable surplus) although there is every intention to declare IDCWs in Income Distribution cum Capital Withdrawal option.
- Mutual Fund Investments are subject to market risks, read all scheme related document carefully.

##### II. Scheme Specific General Risk Factors

Some of the specific risk factors related to the scheme include but are not limited to the following,

- The performance of the scheme may be affected by the corporate performance, macro-economic factors, changes in Government policies, general levels of interest rates and risk associated with trading volumes, liquidity and settlement systems in the securities markets.
- Low trading volumes, settlement periods and transfer procedures may restrict the liquidity of the scheme's investments. Transacting may become difficult due to extreme volatility in the market resulting in constriction in volumes. Additionally, changes in the SEBI/ RBI regulations/Guidelines may have an adverse impact on the liquidity of the scheme. Different segments of the Indian financial markets have different settlement periods, and such period may be extended significantly by unforeseen circumstances. The length of time for settlement may affect the Scheme in the event the Scheme has to meet an inordinately large number of redemption requests. In addition, the Trustee at its sole discretion reserves the right to limit or withdraw sale and/or repurchase/redemption and/or switching of the units in the scheme (including any one of the Plans of the scheme) temporarily or indefinitely under certain circumstances. For details refer the Section 'Right to limit redemptions'. The scheme will retain certain investments in cash or cash equivalent for the day to day liquidity requirements.

##### III. Risk associated with investments in equities and equity related instruments:

Investments in equity and equity related instruments involve a degree of risk, both company specific and market risks and thus investors should not invest in the Scheme unless they can afford to take the risk of losing their investment.

The scheme will predominantly invest in equity and equity related securities diversified over various sectors. Thus, any price fluctuation for these securities may adversely affect the NAV of the units issued under the Scheme. The same may also lead to out-performance or under-performance of the scheme against NIFTY 500 TRI value which is the benchmark index for the scheme.

Equity and Equity Related Instruments by nature are volatile and prone to price fluctuations on a daily basis due to macro and micro economic factors. The value of Equity and Equity Related Instruments may fluctuate due to factors affecting the securities markets such as volume and volatility in the capital markets, interest rates, currency exchange rates, changes in law/policies of the Government, taxation laws, political, economic or other developments, which may have an adverse impact on individual securities, a specific sector or all sectors. Consequently, the NAV of the Units issued under the Scheme may be adversely affected.

Equity and Equity Related Instruments listed on the stock exchange carry lower liquidity risk; however the Scheme's ability to sell these investments is limited by the overall trading volume on the stock exchanges. In certain cases, settlement periods may be extended significantly by unforeseen circumstances. The inability of the Scheme to make intended securities purchases due to settlement problems could cause the

Scheme to miss certain investment opportunities. Similarly, the inability to sell securities held in the Scheme's portfolio may result, at times, in potential losses to the Scheme, should there be a subsequent decline in the value of securities held in the Scheme's portfolio.

The Scheme may invest in securities which are not listed on the stock exchanges. These securities may be illiquid in nature and carry a higher amount of liquidity risk, in comparison to securities that are listed on the stock exchanges or offer other exit options to the investor. The liquidity and valuation of the Scheme's investments due to its holdings of unlisted securities may be affected if they have to be sold prior to the target date of disinvestment.

#### **IV. Risks associated with Fixed Income Securities:**

The following are the risks associated with investment in Fixed Income securities:

**Interest-Rate Risk:** Fixed income securities such as government bonds, corporate bonds, Money Market Instruments and Derivatives run price-risk or interest-rate risk. Generally, when interest rates rise, prices of existing fixed income securities fall and when interest rates drop, such prices increase. The extent of fall or rise in the prices depends upon the coupon and maturity of the security. It also depends upon the level at which the security is being traded.

**Re-investment Risk:** Investments in fixed income securities carry re-investment risk as interest rates prevailing on the coupon payment or maturity dates may differ from the original coupon of the bond.

**Basis Risk:** The underlying benchmark of a floating rate security or a swap might become less active or may cease to exist and thus may not be able to capture the exact interest rate movements, leading to loss of value of the portfolio.

**Spread Risk:** In a floating rate security the coupon is expressed in terms of a spread or mark up over the benchmark rate. In the life of the security this spread may move adversely leading to loss in value of the portfolio. The yield of the underlying benchmark might not change, but the spread of the security over the underlying benchmark might increase leading to loss in value of the security.

**Liquidity Risk:** The liquidity of a bond may change, depending on market conditions leading to changes in the liquidity premium attached to the price of the bond. At the time of selling the security, the security can become illiquid, leading to loss in value of the portfolio.

**Credit Risk:** This is the risk associated with the issuer of a debenture/bond or a Money Market Instrument defaulting on coupon payments or in paying back the principal amount on maturity. Even when there is no default, the price of a security may change with expected changes in the credit rating of the issuer. It is to be noted here that a Government Security is a sovereign security and is the safest. Corporate bonds carry a higher amount of credit risk than Government Securities. Within corporate bonds also there are different levels of safety and a bond rated higher by a particular rating agency is safer than a bond rated lower by the same rating agency.

**Liquidity Risk on account of unlisted securities:** The liquidity and valuation of the Scheme investments due to their holdings of unlisted securities may be affected if they have to be sold prior to their target date of divestment. The unlisted security can go down in value before the divestment date and selling of these securities before the divestment date can lead to losses in the portfolio.

**Settlement Risk:** Fixed income securities run the risk of settlement which can adversely affect the ability of the fund house to swiftly execute trading strategies which can lead to adverse movements in NAV.

#### **V. Risks associated with Investing in Derivatives:**

**Systematic Risk:** Systematic Risk is the risk associated with the entire market. Unlike unsystematic risk, it is not linked to a specific security or sector. Systematic risk is a market risk which can be due to macro-economic factors, news events, etc.

**Mark to Market Risk:** This risk is on account of day to day fluctuations in the underlying Security and its derivative instrument, which can adversely impact the portfolio.

**Credit Risk:** The credit risk is the risk that the counter party will default in its obligations and is generally small as in a Derivative transaction there is generally no exchange of the principal amount.

**Interest rate risk:** Derivatives carry the risk of adverse changes in the price due to change in interest rates.

**Basis Risk:** When a security is hedged using a Derivative, the change in price of the security and the change in price of the Derivative may not be fully correlated leading to basis risk in the portfolio.

**Liquidity risk:** During the life of the Derivative, the benchmark might become illiquid and might not be fully capturing the interest rate changes in the market, or the selling, unwinding prices might not reflect the underlying assets, rates and indices, leading to loss of value of the portfolio.

**Model Risk:** The risk of mis-pricing or improper valuation of Derivatives.

**Trade Execution:** Risk where the final execution price is different from the screen price, leading to dilution in the spreads and hence impacting the profitability of the reverse arbitrage strategy.

**Systemic Risk:** For Derivatives, especially OTC ones the failure of one Counter Party can put the whole system at risk and the whole system can come to a halt.

The Scheme may invest in various derivative products in accordance with and to the extent permitted under the regulations from time to time.

Derivatives are financial contracts of pre-determined fixed duration, like stock Futures /options and index futures and options, whose values are derived from the value of an underlying primary financial instrument such as: Equities, Interest rates, Exchange rates and Commodities.

Derivative products are specialized instruments that require investment techniques and risk analysis which are different from those associated with stocks and other traditional securities.

Derivatives are highly leveraged instruments and a small price fluctuation in the underlying can have a larger impact on its value. Thus, its use can lead to disproportionate

gains or losses to the portfolio. Execution of derivatives instruments depends on the ability of the fund manager to identify good opportunities. Identification and execution of the strategies to be pursued by the fund manager involve uncertainty and decision of fund manager may not always be profitable. No assurance can be given that the fund manager will be able to identify or execute such strategies.

"The risks associated with the use of Derivatives are different from or possibly greater than, the risks associated with investing directly in securities and other traditional investments."

#### **VI. Risks associated with Short Selling & Securities Lending:**

Securities Lending is a lending of securities through an approved intermediary to a borrower under an agreement for a specified period with the condition that the borrower will return equivalent securities of the same type or class at the end of the specified period along with the corporate benefits accruing on the securities borrowed. There are risks inherent in securities lending, including the risk of failure of the other party, in this case the approved intermediary to comply with the terms of the agreement. Such failure can result in a possible loss of rights to the collateral, the inability of the approved intermediary to return the securities deposited by the lender and the possible loss of corporate benefits accruing thereon.

Short-selling is the sale of shares or securities that the seller does not own at the time of trading. Instead, he borrows it from someone who already owns it. Later, the short seller buys back the stock/security he shorted and returns the stock/security to the lender to close out the loan. The inherent risks are Counterparty risk and liquidity risk of the stock/security being borrowed. The security being short sold might be illiquid or become illiquid and covering of the security might occur at a much higher price level than anticipated, leading to losses.

#### **VII. Risk Factors Associated with Investments in Foreign Securities:**

Subject to necessary approvals, the Scheme may also invest in overseas financial assets as permitted under the applicable regulations. The value of an investment in a foreign issuer's securities may depend on general global economic factors or specific economic and political factors relating to the country or countries in which the foreign issuer operates. To the extent the assets of the Scheme are invested in overseas financial assets, there may be risk associated with fluctuation in foreign exchange rates, restriction on repatriation of capital and earnings under the exchange control regulations and transaction procedure in overseas market. The repatriation of capital to India may also be hampered by changes in regulations concerning exchange controls, political circumstances, bi-lateral conflicts or prevalent tax laws. Since the Scheme would invest only partially in foreign securities, there may not be readily available and widely accepted benchmarks to measure performance of such Scheme. To manage risks associated with foreign currency and interest rate exposure, the Fund may use derivatives for efficient portfolio management and hedging and portfolio rebalancing and in accordance with conditions as may be stipulated under the Regulations and by RBI from time to time.

Investment in foreign securities carries currency risk. Currency risk is a form of risk that arises from the change in price of one currency against other. The exchange risk associated with a foreign denominated instrument is a key element in foreign investment. This risk flows from differential monetary policy and growth in real productivity, which results in differential inflation rates. The risk arises because currencies may move in relation to each other.

Presently the AMC does not have approval to invest in foreign securities. It will take the necessary approvals from SEBI & RBI before commencing investments in foreign securities and a dedicated fund manager will be appointed to oversee investments in foreign securities.

#### **PLANS / OPTIONS :**

##### **Plans**

- Regular Plan (For applications routed through Distributors)
- Direct Plan (For applications not routed through Distributors)

##### **Options under each Plan**

- Growth
- Income Distribution cum Capital Withdrawal option (Payout)

*Note : IDCW amounts can be distributed out of investors capital (Equalization Reserve), which is part of sale price that represents realized gains.*

*Direct Plan is for investors who purchase /subscribe Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor. Direct Plan shall have a lower expense ratio as compared to regular plan excluding distribution expenses, commission, etc and no commission for distribution of Units will be paid / charged under the Direct Plan. All plans/options will have a common portfolio.*

#### **APPLICABLE NAV :**

The below cut-off timings and applicability of NAV shall be applicable in respect of valid applications received at the Official Point(s) of Acceptance on a Business Day:

##### **For Purchase (including switch-in) of any amount :**

- In respect of valid applications received upto 3.00 p.m. and where the funds for the entire amount are available for utilization before the cut-off time i.e. credited to the bank account of the Scheme before the cut-off time - the closing NAV of the day shall be applicable.
- In respect of valid applications received after 3.00 p.m. and where the funds for the entire amount are credited to the bank account of the Scheme either on the same day or before the cut-off time of the next Business Day i.e. available for utilization before the cut-off time of the next Business Day - the closing NAV of the next Business Day shall be applicable.
- Irrespective of the time of receipt of application, where the funds for the entire amount are credited to the bank account of the Scheme before the cut-off time on any subsequent Business Day i.e. available for utilization before the cut-off time on any subsequent Business Day - the closing NAV of such subsequent Business Day shall be applicable.

**For Switch-ins of any amount: For determining the applicable NAV, the following shall be ensured:**

- Application for switch-in is received before the applicable cut-off time.
- Funds for the entire amount of subscription / purchase as per the switch-in request are credited to the bank account of the Scheme before the cut-off time.
- The funds are available for utilization before the cut-off time.
- In case of 'switch' transactions from one scheme to another, the allocation shall be in line with redemption payouts.

To clarify, for investments through systematic investment routes such as Systematic Investment Plans (SIP), Systematic Transfer Plans (STP), etc. the units will be allotted as per the closing NAV of the day on which the funds are available for utilization by the Target Scheme irrespective of the installment date of the SIP, STP, etc.

**For Redemption:**

- Where the application is received up to 3.00 pm on a Business Day - Closing NAV of the day of receipt of application; and
- Where the application is received after 3.00 pm on a Business Day - Closing NAV of the next Business Day.

**Note :** In case of applications received on a Non-Business Day the closing NAV of the next Business Day shall be applicable.

The Trustee reserves the right to change / modify the aforesaid requirements at a later date in line with SEBI directives from time to time.

**For applicability of NAV of the Scheme with an amount equal to or more than Rs. 2 Lakhs (Two Lakh Rupees) the following should be noted :**

- For allotment of Units in respect of purchase in the Scheme, the following needs to be complied with :
  - Application is received before the applicable cut-off time.
  - Funds for the entire amount of subscription/purchase as per the application are credited to the bank account of the Scheme before the cutoff time.
  - The funds are available for utilization before the cut-off time without availing any credit facility whether intraday or otherwise, by the Scheme.

The above will be applicable only for cheques/demand drafts/payment instruments payable locally in the city in which a Designated Collection Center is located. No outstation cheques will be accepted.

**Note :** For the avoidance of doubt, where applications are received for an amount of less than Rs.2 Lakhs (Two Lakh Rupees) on a non-Business Day the closing NAV of the next Business Day shall be applicable.

**For Redemption :**

- Where the application is received up to 3.00 pm on a Business Day - Closing NAV of the day of receipt of application; and
- Where the application is received after 3.00 pm on a Business Day - Closing NAV of the next Business Day.

**Note :** In case of applications received on a Non-Business Day the closing NAV of the next Business Day shall be applicable.

**MINIMUM APPLICATION AMOUNT / NUMBER OF UNITS (UNDER EACH PLAN / OPTION) :**

**Purchase**

Minimum of Rs. 500/- and in multiples of Rs. 500/- thereafter

**Additional Purchase**

Rs. 500/- and in multiples of Rs. 500/- thereafter

**Repurchase**

In case of the investors / unit holders having available balance of units worth Rs. 1000/- or less in their respective folio on the day of submission of valid redemption request, for the respective Plan, the minimum redemption amount would be the available balance.

**Note:** In accordance with the regulatory requirement, the minimum application amount and minimum redemption amount will not be applicable for investment made in schemes of the Fund in compliance with the SEBI circular no. SEBI/HO/IMD/IMD-I/DOF5/P/CIR/2021/553 dated April 28, 2021 read along with SEBI circular no. SEBI/HO/IMD/IMD-I/DOF5/P/CIR/2021/629 dated September 20, 2021

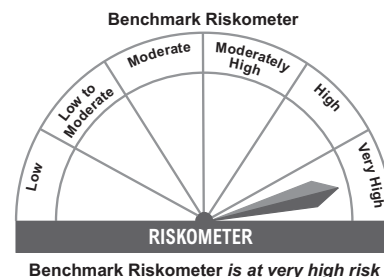
**DESPATCH OF REPURCHASE (REDEMPTION) REQUEST**

In terms of the SEBI circular no. SEBI/HO/IMD/IMD-I DOF2/P/CIR/2022/161 dated November 25, 2022 the transfer of redemption or repurchase proceeds to the unitholders shall be made within three working days from the date of redemption or repurchase

(however, in case of exceptional situations specified by AMFI in its letter no. AMFI/35P/ MEM-COR/ 74 / 2022-23 dated January 16, 2023 additional timelines allowed in the said AMFI letter shall be considered for transfer of redemption or repurchase proceeds to the unitholders). Interest for the period of delay in transfer of redemption or repurchase proceeds shall be payable to unitholders at the rate of 15% per annum along with the proceeds of redemption or repurchase if the redemption or repurchase proceeds are not transferred within three working days from the date of redemption or repurchase and within specified additional timeline (in exceptional situations) mentioned above. Such Interest shall be borne by AMC.

**BENCHMARK INDEX :**

The Scheme, Shriram Long Term Equity Fund, an open ended scheme, would measure its performance against NIFTY 500 TRI value index.



**IDCW POLICY :**

The IDCW Policy for the scheme will be in line with the guidelines laid down by SEBI pursuant to Para 11.6.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, the procedure for which will be as follows:-

- Quantum of IDCW and the record date shall be fixed by the trustees in their meeting. IDCW so decided shall be paid, subject to availability of distributable surplus and at the discretion of the AMC.
- Record date shall be the date which will be considered for the purpose of determining the eligibility of investors whose names appear on the register of unit holders for receiving IDCWs. Further, the NAV shall be adjusted to the extent of IDCW distribution and statutory levy, if any, at the close of business hours on record date.
- Within one calendar day of the decision by the trustees, AMC shall issue notice to the public communicating the decision including the record date. In terms of the Para 11.6.1.3 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 the record date shall be two working days from the date of publication in at least one English newspaper or in a newspaper published in the language of the region where the Head Office of the mutual fund is situated, whichever is issued earlier. The payment of IDCW to the unitholders shall be made within seven working days from the record date. Interest for the period of delay in transfer of IDCW shall be payable to unitholders at the rate of 15% per annum along with the proceeds of IDCW. Such Interest shall be borne by AMC.
- Such notice shall be given in one English daily newspaper having nationwide circulation as well as in a newspaper published in the language of the region where the head office of the mutual fund is situated.
- The notice shall, in font size 10, bold, categorically state that pursuant to payment of IDCW, the NAV of the scheme would fall to the extent of payout and statutory levy (if applicable).
- Before the issue of such notice, no communication indicating the probable date of IDCW declaration in any manner whatsoever may be issued by any mutual fund or distributors of its products.

The requirement of giving notice shall not be applicable for Income Distribution cum Capital Withdrawal options having frequency of IDCW distribution from daily up to monthly IDCW. There is no assurance or guarantee to the Unit holders as to the rate of IDCW nor that will the IDCW be paid regularly.

**NAME OF THE FUND MANAGER :**

Mr. Deepak Ramaraju & Ms. Gargi Bhattacharyya Banerjee

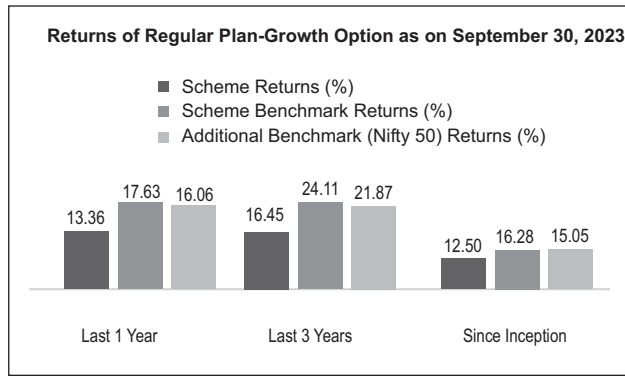
**NAME OF THE TRUSTEE COMPANY / BOARD OF TRUSTEES :**

Board of Trustees, Shriram Mutual Fund

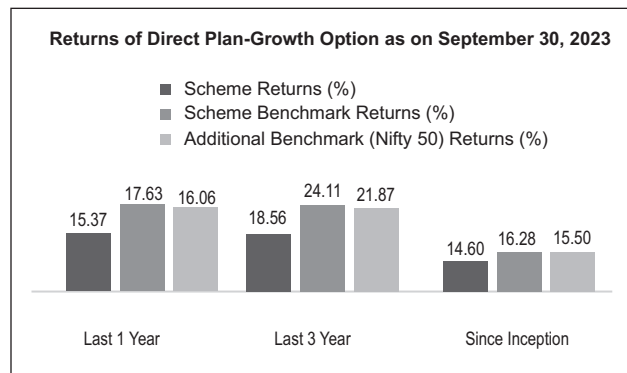
**PERFORMANCE OF THE SCHEME:**

performance of the Scheme "Shriram Long Term Equity Fund" as on September 30, 2023 is given below:

Returns of Regular Plan - Growth Option as on September 30, 2023								
Date of inception: 25-Jan-2019								
September 30, 2023 Rs. 17.3577								
Date	Period	NAV (Rs.) Per Unit	Scheme Returns (%)	Scheme Benchmark Returns (%)	Additional Benchmark (NIFTY50) Returns (%)	Value of Investment of Rs.10000 (In Rs.)		
						Scheme	Scheme Benchmark	Additional Benchmark (NIFTY50)
September 30, 2022	Last 1 Year	15.3123	13.36	17.63	16.06	11,336	11,763	11,606
September 30, 2020	Last 3 Years	10.9913	16.45	24.11	21.87	15,792	19,118	18,099
NA	Last 5 Years	NA	NA	NA	NA	NA	NA	NA
NA	Last 10 Years	NA	NA	NA	NA	NA	NA	NA
January 25, 2019	Since Inception	10.0000	12.50	16.28	15.05	17,358	20,259	19,280



Returns of Direct Plan-Growth Option as on September 30, 2023								
Date of inception: 25-Jan-2019								
NAV as on September 30, 2023 Rs. 18.9305								
Date	Period	NAV (Rs.) Per Unit	Scheme Returns (%)	Scheme Benchmark Returns (%)	Additional Benchmark (NIFTY50) Returns (%)	Value of Investment of Rs.10000 (In Rs.)		
						Scheme	Scheme Benchmark	Additional Benchmark (NIFTY50)
September 30, 2022	Last 1 Year	16.4087	15.37	17.63	16.06	11,537	11,763	11,606
September 30, 2020	Last 3 Year	11.3593	18.56	24.11	21.87	16,665	19,118	18,099
NA	Last 5 Year	NA	NA	NA	NA	NA	NA	NA
NA	Last 10 Year	NA	NA	NA	NA	NA	NA	NA
January 25, 2019	Since Inception	10.0000	14.60	16.28	15.05	18,931	20,259	19,280



- NIFTY 500 TRI value is the scheme benchmark.
- As per Para 6.14.2.2 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, the performance of the scheme is benchmarked to the Total Return variant of the Index.
- The returns are Compounded Annual Growth Returns (CAGR) for the past 1 year, 3 years & since inception and simple annualized for less than 1 year. Different plans shall have a different expense structure. The performance details provided herein are of Regular Plan-Growth Option & Direct Plan-Growth Option.
- Performance of Income Distribution cum Capital Withdrawal (IDCW) option would be Net of Dividend distribution tax, if any. For computation of return since inception (%) the allotment NAV has been taken as Rs. 10.00. Point-to-point returns on a standard investment of Rs. 10,000/- are in addition to CAGR for the Scheme.
- Past performance may or may not be sustained in future.** Load is not considered for computation of returns. In case, the start/end date of the concerned period is a non business date (NBD), the NAV of the previous date is considered for computation of returns. The NAV per unit shown in the table is as on the start date of the said period.
- The scheme is being currently managed by Mr. Deepak Ramaraju along with Ms. Gargi Bhattacharyya Banerjee with effect from August 20, 2022.



**EXPENSES OF THE SCHEME :****(i) Load Structure (For Lump sum Purchases & Investments through SIP/STP)**

Entry Load: Not Applicable

Exit Load: Nil

**(ii) Recurring Expenses (% p.a. of daily Net Assets)**

Recurring expenses will not exceed the following limits per annum:

Assets Under Management Slab (In Rs. crore)	Total expense ratio limits for equity oriented schemes*
on the first Rs.500 crores of the daily net assets	2.25%
on the next Rs.250 crores of the daily net assets	2.00%
on the next Rs.1,250 crores of the daily net assets	1.75%
on the next Rs.3,000 crores of the daily net assets	1.60%
on the next Rs.5,000 crores of the daily net assets	1.50%
On the next Rs.40,000 crores of the daily net assets	Total expense ratio reduction of 0.05% for every increase of Rs.5,000 crores of daily net assets or part thereof.
On balance of the assets	1.05%

\*Excluding additional limit of 0.05% specified in sub regulation (6A) (c) of Regulation 52 of SEBI (Mutual Funds) Regulation, 1996.

Additional expenses upto 30 bps under Regulation 52 (6A) (b) for new inflows from specified cities may also be charged.

Direct Plan shall have a lower expense ratio as compared to regular plan excluding distribution expenses, commission, etc and no commission for distribution of Units will be paid / charged under the Direct Plan.

The NAV of Direct Plan and Regular Plan shall be different.

GST on Investment and advisory fees shall be charged to the respective scheme in addition to the maximum limit of total recurring expenses as permitted under Regulation 52 of the Regulations. GST on any other fees/expenses shall be borne by the respective scheme within the overall limit of the total recurring expenses.

**Waiver of Load for Direct Applications :**

Pursuant to Para 10.4.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 no entry load shall be charged for all mutual fund schemes. Therefore, the procedure for waiver of load for direct applications is no longer applicable.

**Tax treatment for the Investors (Unit holder) :**

Investors are advised to refer to the Section on 'Taxation on investing in Mutual Funds' in the 'Statement of Additional Information'

**Daily Net Asset Value (NAV) Publication :**

The AMC will calculate and disclose the first NAV of the respective plans not later than 5 business days from the date of allotment of the respective plans. The Mutual Fund shall prominently disclose the Net asset value of the scheme on every business day under a separate head on the website of the AMC "www.shriramamc.in" as well as on AMFI's website "www.amfiindia.com" (by the time limit for uploading NAV as per applicable guidelines). If the NAVs are not available before commencement of business hours on the following day due to any reason, the Fund shall issue a press release providing reasons and explaining when the Fund would be able to publish the NAVs. NAV shall be calculated on all business days. In addition, the NAV, Sale and Repurchase rates for all business days will be available at our Branch Offices. Further, Mutual Fund/ AMC shall extend facility of sending latest available NAVs to unit holders through SMS, upon receiving a specific request in this regard.

**For Investor Grievances, Please contact :****Name & Address of Registrar :****Computer Age Management Services Ltd.,**

(SEBI Registration No. : INR000002813)

New No. 10, Old No. 178, M.G.R. Salai Nungambakkam, Chennai - 600034

Email : enq\_sh@camsonline.com,

Website : www.camsonline.com

**SHIRAM MUTUAL FUND****Tanmoy Sengupta**

(Investor Relations Officer)

Shriram Asset Management Co. Ltd.

511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059

Tel : 022-6947 3400

Email : info@shriramamc.in

Website : www.shriramamc.in

**Unit holder's Information :**

- On acceptance of the application for subscription, an allotment confirmation by way of email and/or SMS within 5 Business Days from the date of receipt of transaction request will be sent to the Unit holders registered e-mail address and/or mobile number.
- A Consolidated Account Statement shall be issued to the Unit holder(s) for each calendar month in whose folios transaction(s) has / have taken place during that month, on or before fifteenth day of the succeeding month (Ref: Para 14.3.3.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74

dated May 19, 2023) by mail/e-mail.

- For the purpose of sending CAS, common investors across mutual funds shall be identified by their Permanent Account Number (PAN).
- In case of a specific request received from the Unit holders, the AMC/Fund will provide the account statement to the investors within 5 Business Days from the receipt of such request.

Further, the CAS detailing holding across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/e-mail on or before twenty first day of the succeeding month (Ref: Para 14.3.3.3 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023), to all such Unit holders in whose folios no transaction has taken place during that period. The Half yearly consolidated account statement will be sent by e-mail to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical.

The holding(s) of the beneficiary account holder for units held in demat mode will be shown in the statement issued by respective Depository Participants (DPs) periodically.

For more details, please refer the Scheme Information Document (SID) and Statement of Additional Information (SAI).

**Portfolio Disclosure :** Pursuant to Para 5.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023.

The AMC shall disclose portfolio (along with ISIN) as on the last day of the month / half-year for the scheme on AMC website and on the website of AMFI within 10 days from the close of each month/ half-year respectively in a user-friendly and downloadable spreadsheet format.

In case of unit holders whose e-mail addresses are registered, the Mutual Fund/ AMC shall send via email both the monthly and half-yearly statement of scheme portfolio within 10 days from the close of each month/ half-year respectively.

Mutual Fund/ AMC shall publish an advertisement every half-year disclosing the hosting of the half-yearly statement of its scheme portfolio on the AMC website and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter) through which a unit holder can submit a request for a physical or electronic copy of the statement of scheme portfolio. Such advertisement shall be published in the all India edition of at least two daily newspapers, one each in English and Hindi.

Mutual Fund/ AMC shall provide a physical copy of the statement of its scheme portfolio, without charging any cost, on specific request received from a unit holder.

**Half Yearly Unaudited Financial Results :** The mutual fund and Asset Management Company shall before the expiry of one month from the close of each half year that is on 31st March and on 30th September, publish its unaudited financial results in one national English daily newspaper and in a regional newspaper published in the language of the region where the Head Office of the mutual fund is situated.

**Annual Report:** Pursuant to Para 5.4 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023.

The scheme wise annual report shall be hosted on the website of the Mutual Fund/ AMC and on the website of AMFI. The Mutual Fund/ AMC shall display the link prominently on the AMC website and make the physical copies available to the unit holders, at the registered offices at all times.

Mutual Fund/ AMC shall e-mail the scheme annual reports or abridged summary thereof to those unit holders, whose email addresses are registered with the Mutual Fund, unless specified otherwise.

Mutual Fund/ AMC shall publish an advertisement every year disclosing the hosting of the scheme wise annual report on the AMC website and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter), etc. through which unit holders can submit a request for a physical or electronic copy of the scheme wise annual report or abridged summary thereof. Such advertisement shall be published in the all India edition of at least two daily newspapers, one each in English and Hindi.

Mutual Fund/ AMC shall provide a physical copy of the abridged summary of the Annual Report, without charging any cost, on specific request received from a unit holder.

**Appointment of MFCentral as Official Point of Acceptance**

Based on the Para 16.6 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023,, to comply with the requirements of RTA inter-operable Platform for enhancing investors' experience in Mutual Fund transactions / service requests, the QRTA's, KFin Technologies Private Limited (KFintech) and Computer Age Management Services Limited (CAMS) have jointly developed MFCentral – A digital platform for Mutual Fund investors.

MFCentral is created with an intent to be a one stop portal / mobile app for all Mutual fund investments and service-related needs that significantly reduces the need for submission of physical documents by enabling various digital / phygital services to Mutual fund investors across fund houses subject to applicable T&Cs of the Platform. MFCentral will be enabling various features and services in a phased manner. MFCentral may be accessed using <https://mfcentral.com> and a Mobile App in future.

With a view to comply with all provisions of the aforesaid circular and to increase digital penetration of Mutual funds, Shriram Mutual Fund has designated MFCentral as its Official point of acceptance (DISC – Designated investor Service Centre) w.e.f. 23rd September 2021.

Any registered user of MFCentral, requiring submission of physical document as per the requirements of MFCentral, may do so at any of the designated Investor Service centres or collection centres of KFintech or CAMS.

**Addition of “MF Utility” platform as an Official Point of Acceptance of Transactions for the Schemes of Shriram Mutual Fund**

Shriram Asset Management Company Limited ('the AMC') has entered into an Agreement with MF Utilities India Private Limited ('MFUI'), for usage of MF Utility ('MFU') - a shared services initiative of various Asset Management Companies, which acts as a transaction aggregator for transacting in multiple Schemes of various Mutual Funds with a single form and a single payment instrument.

Accordingly, all financial and non-financial transactions pertaining to Scheme(s) of Shriram Mutual Fund('the Fund') can be done through MFU either electronically on the online transaction portal of MFU at [www.mfuonline.com](http://www.mfuonline.com) or physically through the authorized Points of Service ('POS') of MFUI with effect from the respective dates as published on MFUI website against the POS locations. The list of POS of MFUI is published on the website of MFUI at [www.mfuindia.com](http://www.mfuindia.com) as may be updated from time to time. The online transaction portal of MFU i.e. [www.mfuonline.com](http://www.mfuonline.com) and the POS locations of MFUI will be in addition to the existing Official Points of Acceptance of Transactions ('OPAT') of the AMC.

Investors are requested to note that, MFUI will allot a Common Account Number ('CAN'), a single reference number for all investments in the Mutual Fund industry, for transacting in multiple schemes of various Mutual Funds through MFU and to map existing folios, if any. Investors can create a CAN by submitting the CAN Registration Form ('CRF')

and necessary documents at the authorised MFUI POS. The AMC and/ or its Registrar and Transfer Agent ('RTA') shall provide necessary details to MFUI as may be needed for providing the required services to investors / distributors through MFU. Investors are requested to visit the website of MFUI to download the relevant forms.

Applicability of NAV shall be based on time stamping of application at MFUI POS / online and realization of funds in the bank account of the Fund within the applicable cut-off timing. The uniform cut-off time as prescribed by Securities and Exchange Board of India (Mutual Funds) Regulations, 1996 and as mentioned in the Scheme Information Document / Key Information Memorandum of respective schemes shall be applicable. Investors should note that transactions through MFU shall be subject to terms and conditions as stipulated by MFUI / the Fund / the AMC from time to time and any law for the time being in force.

For any queries or clarifications related to MFU, please contact the Customer Care of MFUI on 1800-266-1415 (during the business hours on all days except Sunday and Public Holidays) or send an email to "[clientservices@mfuindia.com](mailto:clientservices@mfuindia.com)."

## GENERAL INFORMATION AND GUIDELINES

### GENERAL INFORMATION

- It must be understood clearly that all applicants are deemed to have accepted the terms subject to which these offers are being made and bind themselves to the terms mentioned in the SAI/SID/KIM upon signing the application form and tendering payment.
- Please complete the Application Form legibly in black ink or blue ink, in the English language only, in BLOCK CAPITALS. Please strike out with a line across any section that is not applicable.
- Submission of Application Forms** : Application form complete in all respects with the necessary remittances may be submitted at Shriram MF Admin. HO, Shriram MF ISC/ official Points of Acceptance of the Registrar or such other collection centers as may be designated by the AMC. The list of collection centers are given on the website of Shriram Mutual Fund. Applications received by post/courier will be deemed to have been submitted on date of receipt at the designated collection centre.
- Investors are advised to retain the acknowledgement slip signed/stamped by the collection centre where they submit the application.
- Allotment of Units: Allotment is assured to all applicants provided the application is complete in all respects and is in order. Applications not complete in any respect are liable to be rejected.

### f. GUIDELINES TO HELP YOU COMPLETE THE APPLICATION FORM

#### (1) Distributor details

**Investments through distributors** : As per directions of Securities and Exchange Board of India (SEBI), the distributors, agents or any persons employed or engaged or to be employed or engaged in the sale and/or distribution of mutual fund products are required to have a valid certification from the National Institute of Securities Markets (NISM) by passing the certification examination. Further, no agents / distributors are entitled to sell units of mutual funds unless the intermediary is registered with Association of Mutual Funds in India (AMFI).

**Employee Unique Identification Number (EUIN)** : SEBI has made it compulsory for every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUIN obtained by him/her from AMFI in the Application Form. EUIN, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. However, if your distributor has not given you any advice pertaining to the investment, the EUIN box may be left blank. In this case, you are required to provide a duly signed declaration to this effect, as given in the Form.

**Direct Investments** : Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan. In case of valid application received without indicating "Direct Plan" against the Scheme / Plan name and without any Distributor Code mentioned on the form, the application will be processed under "Direct Plan".

- Email ID/ Email Communication** : Investors desirous of receiving documents such as allotment advice, statement of accounts, periodical reports and other communications in electronic form are required to fillup their email ID. The email ID as declared by the investor will be registered in our records and all future communication will be made to such registered email ID. It may be noted that no physical document will be sent to an investor (unless specifically requested) who has a registered email ID with us.

- PAN (Permanent Account Number)** : Permanent Account Number is the sole identification number for all investors transacting in the units of Shriram Mutual Fund, submission of attested copy of PAN card is mandatory for all categories of investors (including NRIs, Guardian of a minor). Attestation can be done by distributors / AMC officials etc. However, pursuant to SEBI letter OW/16541/2012 dated July 24, 2012 investment in Mutual Fund schemes (including investments in SIP) upto Rs. 50,000 per year, per investor, across all schemes of the fund shall be exempted from the requirement of PAN. Accordingly, individuals (including who are individuals, NRIs, but not POIs, Minors) and sole proprietary firms who do not possess PAN (HUF and other categories are not eligible for such investments) are exempt from submission of PAN for investments upto Rs. 50,000 in a rolling 12 months period or in a financial year (i.e. April to March). However eligible investors are required to undergo Know Your Customer (KYC) procedure with any of the SEBI registered KYC Registration Authority (KRA). Eligible investor must quote PAN Exempt KYC Reference Number (PEKRN) issued by KRA. Fresh/ Additional Purchase and Systematic Investment Plans will be covered within the limit of Rs. 50,000.

- Know your Customer (KYC) Policy** : SEBI pursuant to clause b of Para 16.2.4.4 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 has simplified the KYC registration process and authorised KRA (KYC registration agency) for storing, safeguarding and retrieving the KYC documents. If the investor has successfully completed KYC registration with stock brokers, depository participants, Mutual Funds, portfolio managers, collective investment schemes and venture capital funds on or after January 1, 2012, no fresh KYC application is required to be submitted for investing in this scheme. Further if the investor has already completed KYC registration with CVL for Mutual Fund investments, no fresh KYC application is required to be submitted. In case the investor has not undergone the KYC registration as aforesaid or investors wish to submit updated/additional information/ document they may

submit necessary application for KYC Registration/ update along with the application form for subscribing the units. The documents required to be submitted along with KYC application from are detailed in the KYC application form itself.

Notwithstanding anything stated herein above the AMC/MF reserves absolute right and discretion to call for any additional information/document as they may require for verifying the KYC of the investor.

**New to Shriram Mutual Fund** : Investors who are registering with Shriram Mutual Fund for the first time but have completed KYC from CVL may have to undergo an in-Person verification and may be required to submit missing/not-available information as appearing in the database provided by KYC Registering Agencies. These details are required to be updated only if the KYC status as per CVL-KRA reflects as "MF-VERIFIED BY CVLMF"

**In-Person Verification** : With effect from January 1, 2012 in person verification is compulsory for obtaining KYC registration for all securities market investment including Mutual fund. In view of the same, investors submitting KYC application form shall undergo in-person verification by the AMC/MF. KYD compiled distributors, employees of Shriram Asset Management Co. Ltd and employees of Registrar and Transfer agent appointed by Shriram mutual Fund are authorized to perform the inperson verification on behalf of Shriram Mutual Fund.

In addition to the above, pursuant to the AMFI Best Practices Guidelines Circular No. 62/2015-16 dated September 18, 2015, effective from November 01, 2015:

- It is mandatory for all new Mutual Fund investors to provide additional KYC details as prescribed in Part II of the Account Opening Form (such as Gross Annual Income Details, Net Worth, Occupation, PEP) as part of account opening; and
- No purchase transactions (whether fresh or additional subscriptions) and switches pertaining to 'KYC-On Hold' cases shall be accepted, unless and until the customer also submits missing information or updated information, for updating the same in KRA-KYC system promptly.

A ready-reckoner of action to be taken by AMC/RTA in respect of new customers/folios/accounts is given in the table below

KYC Status	Action till October 31, 2015	Action from November 01, 2015
KYC-Registered	Accept	Accept
KYC-On Hold	Communicate for remediation	Reject all purchase & switch transactions if the missing information is not provided
KYC-Under Process	Accept	Accept
KYC Rejected	Reject	Reject
KYC-Not Available	Reject	Reject
KYC-Deactivated	Reject	Reject

*Note: SIP and STP mandates already registered till October 31, 2015 may be exempted from the above stipulations*

As regards the cases involving 'Missing/Not Available' KYC information, effective from January 01, 2016 it is mandatory for the existing MF customers to:

- Provide/update additional KYC details as prescribed in Part II of the Account Opening Form (such as Gross Annual Income Details, Net Worth, Occupation, PEP) where such information was not provided to KRAs earlier, to be able to continue to make additional subscription (including switches) in their existing folios
- Provide the missing information, and complete In-Person Verification (IPV) in order to continue to make additional subscription, including switches, in their existing folios to make this process consistent across the Industry.

A ready-reckoner of action to be taken by AMC/RTA in respect of existing folios with KYC status as 'MF-KYC Registered' is given in the table below

KYC Status	Action till December 31, 2015	Action from January 01, 2016
MF-KYC Registered	Make sustained efforts to obtain the requisite Missing/Not Available KYC information and/or complete the IPV requirement, as the case may be and update in KRA records.	Reject ALL Purchase and switch transactions, if the missing KYC information is NOT provided and/or IPV is not completed.

*Note: SIP and STP mandates already registered till December 31, 2015 may be exempted from the above stipulations*

### Aadhaar based e-KYC process

SEBI vide circular no: CIR/MIRSD/09/2013 dated October 8, 2013, enabled Aadhaar based e-KYC service offered by UIDAI for KYC verification.

Also vide circular No. CIR/MIRSD/29/2016 dated January 22, 2016, SEBI clarified that the usage of Aadhaar card as issued by the UIDAI is voluntary.

Moreover, pursuant to SEBI Circular No: SEBI/HO/MIRSD/DOP/CIR/P/2019/123 dated November 05, 2019, entities in the securities market, as may be notified by the Central Government, shall be allowed to undertake Aadhaar Authentication under section 11A of the PMLA. These entities would be registered with UIDAI as KYC user agency ("KUA") and shall allow all the SEBI registered intermediaries / mutual fund distributors to undertake Aadhaar Authentication of their clients for the purpose of KYC through them.

For entering into account based relationship, the client may provide the following information to the intermediary:

- Name
- Aadhaar number
- Permanent Account Number (PAN)

For more details on Aadhaar based e-KYC process, please refer the Statement of Additional Information (SAI)



## Central KYC

Pursuant to SEBI circular no: CIR/MIRSD/ 66 /2016 dated July 21, 2016 the registered intermediaries shall upload the KYC data with Central KYC Records Registry (CKYCR), in respect of all individual accounts opened on or after August 1, 2016, wherever KYC is required to be carried out as per the circulars issued by SEBI from time to time and accordingly, shall take steps to prepare their systems for uploading the KYC data.

Further, SEBI circular no. SEBI/HO/MIRSD/DOP/CIR/P/2021/31 dated March 10, 2021 has mandated to upload the KYC records of Legal Entity (other than individuals) accounts as well opened on or after April 01, 2021 on to CKYCR in terms of Rule 9 (1A) of the Prevention of Money Laundering (Maintenance of Records) Rules, 2005. For Legal Entity accounts opened prior to April 1, 2021, the KYC records are required to be uploaded on to CKYCR when the updated KYC information is obtained/received from the client.

### (5) Accounts opened on behalf Minor /Change of status from minor to major/ Change of Guardian :

The minor shall only be the first and the sole holder in an account (folio). There shall not be any joint accounts with minor as the first or joint holder. Name of the Parent or Guardian must be mentioned if the investments are being made on behalf of a minor. Guardian in the folio should either be a natural guardian (i.e. father or mother, as the case may be) or a court appointed legal guardian.

Date of birth of the minor along with photocopy of supporting documents (i.e. Birth certificate School leaving certificate Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., Passport, or any other suitable proof evidencing the date of birth of the minor) should be provided while opening the folio. In case of a natural guardian, document evidencing the relationship of the Guardian with the minor, if the same is not available as part of the documents mentioned above should be submitted. In case of court appointed legal guardian, supporting documentary evidence should be provided.

Further, in case of SIP/STP/SWAP registration requests received on/after April 1, 2011, the Mutual Fund/AMC will register SIP/STP/SWAP in the folio held by a minor only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date.

Further process to be complied for investments made in the name of a Minor through a Guardian (SEBI Circular No: SEBI/HO/IMD/DF3/CIR/P/2019/166 dated December 24, 2019)

- Payment for investment by means of Cheque, Demand Draft or any other mode shall be accepted from the bank account of the minor or from a joint account of the minor with the guardian only.
- Upon the minor attaining the status of major, the minor in whose name the investment was made, shall be required to provide all the KYC details, updated bank account details including cancelled original cheque leaf of the new account. No further transactions shall be allowed till the status of the minor is changed to major.

In addition, guidelines/formats prescribed by AMFI vide its Best Practice Circular no. 135/BP/ 86 /2020-21 dated July 16, 2020 need to be complied/ followed w.r.t. Minors' Accounts & Change in status from Minor to Major.

### (6) Mode of Payment

#### a) For Resident investors

Cheque, demand draft shall be drawn in the name of the scheme as detailed below and crossed "Account Payee only".

- the Specific Scheme A/c Permanent Account Number (where the investor has a PAN) e.g.: SHRIRAM LONG TERM EQUITY FUND A/C XXXXXXXX (PAN) OR
- the Specific Scheme A/c First Investor Name\* (investors from the state of Sikkim & investors without PAN.)

#### Source of funds

**If paid by cheque :** Identification of third party cheques by the AMC/Mutual Fund/ Registrar & Transfer Agent (R&TA) will be on the basis of matching the name / signature on the investment cheque with the name/ signature of the first named applicant available on the application or in our records for the said folio. If the name of the bank account holder is not pre-printed on the investment cheque or the signature on the said cheque does not match with that of the first named applicant mentioned on the application / available in our records for the said folio, then the investor should submit any one of the following documents at the time of investment :

- A copy of the bank passbook or a statement of bank account having the name and address of the account holder and account number, Investors should also bring the original documents along with the documents mentioned in (a) above to the ISCs/Official Points of Acceptance of Shriram Mutual Fund. The copy of such documents will be verified with the original documents to the satisfaction of the AMC/ Mutual Fund/R&TA. The original documents will be returned across the counter to the investor after due verification.
- A letter (it should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number) in original from the bank on its letterhead certifying that the investor maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available).

**If funded by pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque etc :** Investors should attach any one of the following supporting documents with the purchase application where subscription for units is vide a pre - funded instrument issued by way of debit to his / her bank account :

- A Certificate (in original) from the issuing banker duly certified by the employee signing the pre-funded instrument with his / her full signature, name, employee code, bank seal and contact number, stating the Account holder's name, the Bank Account Number which has been debited for issue of the instrument (Mandatory) and PAN as per bank records, if available.

- A copy of the acknowledgement from the bank, wherein the instructions to debit / carry the bank account details and name of the investor as an account holder are available
- A copy of the passbook/bank statement evidencing the debit for issuance of the instrument.

The account number mentioned in the above supporting documents should be the same as one of the registered bank accounts or the bank details mentioned in the application form.

### If paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS, NACH etc :

Investors should attach to the purchase application form, an acknowledged copy of the instruction to the bank also stating the account number debited. The account number mentioned on the transfer instruction copy should be a registered bank

account or the first named applicant/ investor should be one of the account holders to the bank account debited for such electronic transfer of funds.

Bank charges for outstation demand drafts will be borne by the AMC and will be limited to the bank charges stipulated by the State Bank of India subject to a maximum limit of Rs.1, 000 per instrument.

Outstation Demand Draft has been defined as a demand draft issued by a bank where there are no ISCs/Points of Acceptance available for Investors. Investors may please further note that in case of any application made through the Demand Draft, no Demand Draft charges will be reimbursed by the AMC in any case. The same will have to be borne by investors.

**Cash :** In accordance with SEBI Circular nos. CIR/IMD/DF/21/2012 dated September 13, 2012 and CIR/IMD/DF/10/2014 dated May 22, 2014; the Fund shall accept applications for subscriptions for subscription with payment mode as 'Cash' ("Cash Investment") at select Investor Service Centres (ISCs) to the extent of Rs. 50,000 per investor, per financial year as follows:

- Only resident individuals, sole proprietorships and minors (through guardians), who are KYC compliant (with or without PAN), have a bank account and who submit applications in physical mode at select ISCs can avail this facility.
- Currently, the Fund has made arrangement with HDFC Bank Limited ("the Bank") to collect Cash from the investors of the Fund at designated branches of the Bank. For an updated list of the ISCs / the designated bank branches accepting Cash Investments, investors may contact any of our ISCs or visit the website [www.shriramamc.in](http://www.shriramamc.in)
- Procedure to undertake Cash Investments :
  - Deposit slips for making Cash Investments may be obtained from ISCs which accept Cash Investment applications. The deposit slip must be filled with the scheme name and the amount of cash to be deposited. The deposit slip will be verified by the ISC officials.
  - Investors must then deposit the cash along with the verified deposit slip at any of the nearest designated branches of the Bank accepting cash under this facility.
  - Acknowledged copy of the deposit slip received from the Bank along with the Scheme application form / transaction slip must be submitted at the same ISC (i.e. from where the deposit slip was obtained) for time stamping. Investors must mention their name and folio number/ application number on the reverse of the Bank-acknowledged deposit slip. The pay-out bank account details are also required to be specified in the application form by the investors.
- Applicability of NAV for all schemes other than liquid scheme(s) will be based on the time stamping of the application by the relevant ISC. Applicable NAV for Cash Investments in liquid scheme(s) will be based on the time when the cash is received by the liquid scheme from the Bank (and not the time of deposit of cash at the Bank branch) as the Bank merely collects cash and will remit the funds to the scheme(s) usually by next business day only.
- If the amount of subscription (together with the investments already made through cash in the same financial year) exceeds Rs.20, 000/-, the application will be rejected.
- Payment of proceeds towards redemptions, IDCW, etc. with respect to Cash Investments shall be made only through the pay-out bank account mentioned in the application form or as registered in the folio (as applicable) as Bank mandate.
- Acceptance of Cash Investments will be subject to compliance with applicable laws pertaining to prevention of money laundering.
- Application for Cash Investment not satisfying the above conditions is liable to be rejected.

**Third Party Payments :** The Mutual Fund shall adopt the following procedures to ascertain whether payments are Third Party Payments and investors are therefore required to comply with the requirements specified herein below.

**"Third Party Payment"** means payment made through an instrument issued from a bank account other than that of the first named applicant/ investor mentioned in the application form. In case of payment instruments issued from a joint bank account, the first named applicant/ investor must be one of the joint holders of the bank account from which the payment instrument is issued to consider the payment as a non - Third Party Payment.

- An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of C, A & B will be treated as valid application.
- An Application submitted in joint names of A, B & C along with cheque issued from a bank account in name of A will be treated as valid application.
- An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of B, C & Y will be considered as Third Party Payment.

As referred in above, following are the exceptional cases where third party payments will be accepted subject to submission of requisite documentation/ declarations.

- Payment by Parents/Grand-Parents/Related Persons (*any person investing on*



*behalf of a minor in consideration of natural love and affection or as a gift*) on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000 for each regular purchase or per SIP installment. However this restriction of Rs. 50,000 will not be applicable for payment made by a Guardian whose name is registered in the records of Mutual Fund in that folio (i.e. Father / Mother / Court Appointed Legal Guardian).

- Payment by Employer on behalf of employee under Systematic Investment Plans or as lump sum / one-time subscription, through Payroll deductions.
- Custodian on behalf of an FII or a Client.

**b) For Non-Resident Indian (NRI)/PIO/FII investors**

**On Repatriation Basis :** In the case of NRIs including PIOs, payment may be made either by inward remittance through normal banking channels or out of funds held in his Non - Resident (External) Rupee Account (NRE) / Foreign Currency (Non-Resident) Account (FCNR). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts an account debit Certificate from the Bank issuing the draft confirming the debit shall also be enclosed. FIIs shall pay their subscription either by inward remittance through normal banking channels or out of funds held in Foreign Currency Account or Non-Resident Rupee Account maintained by the FII with a designated branch of an authorized dealer in accordance with the relevant exchange management regulations.

**On non-repatriation basis :** In the case of NRIs/PIOs, payment may be made either by inward remittance through normal banking channels or out of funds held in his NRE / FCNR / Non-Resident Ordinary Rupee Account (NRO). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts an account debit Certificate from the Bank issuing the draft confirming the debit shall also be enclosed.

**(7) Default Plan / Option**

The treatment of applications under "Direct"/ "Regular" Plan shall be based on the following scenarios:

Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured
1	Not mentioned	Not mentioned	Direct Plan
2	Not mentioned	Direct	Direct Plan
3	Not mentioned	Regular	Direct Plan
4	Mentioned	Direct	Direct Plan
5	Direct	Not mentioned	Direct Plan
6	Direct	Regular	Direct Plan
7	Mentioned	Regular	Regular Plan
8	Mentioned	Not mentioned	Regular Plan
9	Mentioned	Both Direct/ Regular Plan ticked/no clarity	Regular Plan

In cases of wrong/invalid/incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 Calendar days of the receipt of the application form from the investor/distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.

In case of valid applications received without indicating any choice of options, it will be considered as option for Growth Option and processed accordingly.

- (8) Demat :** Investors have the option to hold units in dematerialized mode and the units are freely transferable. For holding units in dematerialized mode, investors should have a Depository account in their name. If the investor selects the depository mode for receiving units, no separate KYC needs to be complied. The statement of account issued by the depository participant will be sufficient and no separate statement of account indicating crediting of units by the mutual fund is required for proving allotment of units in the name of the unit holder. For redemption, investors will have to submit duly filled up delivery instruction slip to his concerned depository participant and an acknowledgement for the same along with application for redemption is required to be submitted at the POS. Investors have the responsibility in ensuring transfer of units to the designated pool account of the Mutual fund maintained with the registrar for redemption of units. The Scheme wise ISIN is displayed in the website of the mutual Fund.

- (9) Mode of Payment of Redemption/ IDCW Proceeds :** To the extent possible, the AMC will credit the redemption proceeds to the Bank account of the investor directly through direct credit facility/NEFT/RGESS. In order to enable the AMC to credit the funds directly to the Bank account of the investors, the investors are requested to provide all details about their bank account as required in point 5 of the application form. In all other cases, the redemption proceeds will be issued in the form of Cheque or DD in the name of the sole/ first unit holder to the correspondence address registered with us.

- (10) E-services Facility :** The E-services facility includes Shriram Online, E-alerts and E-payments.

**E-alerts :** This facility enables the Unit holder to receive SMS confirmation for purchase, redeem or switch IDCW declaration details and other alerts.

**E-payments :** Apart from above mentioned facilities, the facility of E-payments comprising of mode of payment of Redemption / IDCW Proceeds if any, via Direct Credit / NEFT / ECS is covered under E-services facility.

- (11) Investment Options :** If the direct plan is ticked, irrespective of any ARN code filled/ written in the application form, the application will be treated as direct application. Plans/Options exercised at the time of application may be changed by the investor at a later date by way of a communication to the Registrar of the Scheme. Such changes would be elective from a prospective date.

**(12) Nomination Facility :**

- Nomination is mandatory for new folios/accounts opened by individual especially with sole holding. Even those investors who do not wish to nominate must sign separately confirming their non-intention to nominate. Nomination is not allowed in a folio held on behalf of a minor.

- The applicant/unit holders can nominate person/persons (upto three) in whom the units held by him shall vest in the event of his death. Where the units are held by more than one person jointly, the joint Unit holders may together nominate a person/persons (upto two) in whom all the rights in the units shall vest in the event of death of all the joint Unit holders. If the units are held jointly, all joint holders will sign the nomination form.
- The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly. Non individuals including society, trust, body corporate, partnership firm, Karta of Hindu undivided family (HUF), holder of Power of Attorney cannot nominate.
- A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the Unit holder.
- Nomination can also be in favour of the Central Government, State Government, and a local authority, any person designated by virtue of his office or a religious or charitable trust.
- The Nominee shall not be a Trust, other than a religious or charitable trust, society, body corporate, partnership firm, Karta of HUF or a Power of Attorney holder.
- A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- Nomination in respect of the units stands rescinded upon the transfer of units.
- Transfer of units in favour of a Nominee shall be valid discharge by the AMC against the legal heir.
- The cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination.
- On cancellation of the nomination, the nomination shall stand rescinded and the AMC shall not be under any obligation to transfer the units in favour of the Nominee. Investors should note that where the Units are transferred in favour of the nominee, the KYC formalities, as applicable, shall have to be completed by the nominee.
- Every new nomination for a folio/account will overwrite the excising nomination.

**(13) Declaration and Signatures :**

- All signatures should be in English or any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public under his/her official seal.
- In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarized copy thereof must be lodged along with the application.

**(14) Transaction Charges**

In accordance with Para 10.5 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, as amended from time to time SHRIRAM Asset Management Company Limited ("the AMC")/Mutual Fund will deduct Transaction Charges from the purchase/ subscription amount received from the investors investing through a valid ARN Holder i.e. AMFI registered Distributor.

Transaction Charge of Rs. 150 (for a time investor across mutual funds) or Rs. 100 (for investor other than time mutual fund investor) per purchase / subscription of Rs. 10,000 and above are deductible from the purchase / subscription amount and payable to the Distributor. The balance amount shall be invested.

However the distributors shall have an option to either "Opt-in/Opt-out" from levying transaction charge based on the type of product. Therefore, the "Opt-in/Opt-out" status shall be at distributor level, basis the product selected by the distributor at the Mutual Fund industry level.

**TRANSACTION CHARGES IN CASE OF INVESTMENTS THROUGH SIP :**

Transaction Charges in case of investments through SIP are deductible only if the total commitment of investment (i.e. amount per SIP installment x No. of installments) amounts to Rs. 10,000 or more. In such cases, Transaction Charges shall be deducted in 3-4 installments. Transaction Charges shall not be deducted :

- where the Distributor of the investor has not opted to receive any Transaction Charges
- for purchase /subscriptions /total commitment amount in case of SIP of an amount less than Rs. 10000/-
- for transactions other than purchases / subscriptions relating to new inflows i.e. through Switches / Systematic Transfers / IDCW Transfers, etc.;
- for purchases / subscriptions made directly with the Fund (i.e. not through any Distributor); and
- for purchases / subscriptions routed through Stock Exchange(s). First / Sole Applicant / Guardian should indicate whether he is a first time investor across Mutual Funds or an existing investor in the appropriate box provided for this purpose in the application form. SHRIRAM AMC/ Fund will endeavor to identify the investor as " first time" or "existing" based the Permanent Account Number (PAN)/PAN Exempt KYC Reference Number (PEKRN) at the First/ Sole Applicant/ Guardian level. If the PAN/PEKRN details are available, then the First / Sole Applicant / Guardian will be treated as existing investor (i.e. Rs. 100 will be deducted as Transaction Charge) else the declaration in the application form will be considered (i.e. Rs. 150 for first time investors or Rs. 100 for other than first time investors will be deducted as Transaction Charge, as applicable). However, if an investor has not provided any declaration, he will be considered as an "existing" investor.

**CHECKLIST** (Please submit the following documents with your application (where applicable). All documents should be original/true copies certified by a Director/Trustee/ Company Secretary /Authorized signatory / Notary Public/AMC or R&T Officials)

Documents	Individual (RI)	Companies	Societies	Partnership Firm	Investment through POA	Trusts	NRI	Fils	PIO
Copy of the PAN Card	✓	✓	✓	✓	✓	✓	✓	✓	✓
Copy of Aadhaar / Enrollment Letter	✓	✓	✓	✓	✓	✓			
Copy of the KYC acknowledgement	✓	✓	✓	✓	✓	✓	✓	✓	✓
Resolution/Authorization to invest		✓	✓					✓	
List of authorised signatories with specimen signatures		✓	✓	✓		✓		✓	
Trust Deed						✓			
Bye-laws			✓						
Partnership Deed				✓					
Overseas Auditor Certificate and SEBI registration								✓	
Notarised POA					✓				
Proof of Address									✓
PIO Card									✓
Foreign Inward Remittance Certificate								✓	

Application Form for **SHRIRAM LONG TERM EQUITY FUND**  
(An Open Ended Equity Linked Saving Scheme with a Statutory Lock in of 3 years and Tax Benefit)

Scheme Code: **SHRI/O/E/ELS/18/11/0003**



511-512, Meadows, Sahar Plaza, J. B. Nagar,  
Andheri (East), Mumbai - 400 059  
Website : www.shriramamc.in

**This product is suitable for investors who are seeking:**

- Long term capital appreciation with a 3 years lock in and tax benefit
- Investment in diversified portfolio of predominantly equity & equity-related securities.
- Very High risk



Investors understand that their principal will be at very high risk

Application No. \_\_\_\_\_

Name & ARN Code	Sub Broker Code / ARN	Internal code for sub Agent/Employee	EUIN	Bank Serial No./Bank Stamp/ Receipt Date

The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered distributor) directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.

Applicable only if ARN is mentioned but 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." Applicable only if RIA Code is mentioned: "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 SEBI-Registered Investment Adviser whose code is mentioned herein."

TRANSACTION CHARGES (Refer instructions and tick the appropriate option) Applicable for transactions routed through distributors/agents/brokers who have opted to receive transaction charges.

- ☐ I am a first time investor in mutual funds (Rs.150 will be deducted). ☐ I am an existing mutual funds investor (Rs.100 will be deducted).

Signatures	First / Sole Applicant / Guardian	Second Applicant	Third Applicant

**1. INVESTOR EXISTING FOLIO NUMBER INFORMATION (Please fill in your folio Number and proceed to Investment Details)**

Folio No.		The details in our records under the folio number mentioned will apply for this application.
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**2. APPLICANT(S) DETAILS (Please refer to instruction No. II (b) & (IV) (Name should be as per Aadhaar) (Mandatory Information)**

Sole /First Applicant/ Minor* PAN/PEKRN*      Enclose (Please✓) O KYC Acknowledgement Letter KYC Id No.* Name of GUARDIAN (In case First/Sole applicant is minor / CONTACT PERSON- DESIGNATION/ PoA HOLDER (In case of Non-Individual Investor) PAN/PEKRN*   <input type="checkbox"/> KYC Proof Attached (Mandatory)   Relationship with Minor applicant: O Natural guardian O Court applicant guardian KYC Id No.* 2nd APPLICANT (Name should be as per Aadhaar) PAN/PEKRN      Enclose (Please✓) O KYC Acknowledgement Letter KYC Id No.* 3rd APPLICANT (Name should be as per Aadhaar) PAN/PEKRN      Enclose (Please✓) O KYC Acknowledgement Letter KYC Id No.*		Date of Birth AADHAAR No.# Date of Birth AADHAAR No.# Date of Birth AADHAAR No.# Date of Birth AADHAAR No.#
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\*If the first/sole applicant is a Minor, then please provide details of Natural/Legal Guardian. # If Aadhaar No. is applied for please enclose proof of enrolment.

Mode of Holding (Please ✓)	<input type="checkbox"/> Anyone or Survivor <input type="checkbox"/> Single <input type="checkbox"/> Joint    (Default option is Anyone or Survivor)
Tax Status (Please ✓)	<input type="checkbox"/> Resident Individual <input type="checkbox"/> NRI/PIO <input type="checkbox"/> Trust <input type="checkbox"/> HUF <input type="checkbox"/> Bank FIs <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> NRO <input type="checkbox"/> Other <input type="checkbox"/> Minor <input type="checkbox"/> Company/Body Corporate <input type="checkbox"/> FIs <input type="checkbox"/> Partnership Firm <input type="checkbox"/> AOP/BOI <input type="checkbox"/> Society

**3. MAILING ADDRESS (Please provide Full Address, P.O. Box No. may not be sufficient, Overseas Investors will have to provide Indian Address)**

Local Address of 1st Applicant -	
City	State
Tel. Off.	Resi.
E-mail*	Mobile^
Overseas Correspondence Address (Mandatory for NRI/FII Applicant)	
City	Country
Pincode	

^ Primary Holder's own email address and mobile number to be provided.

**4. COMMUNICATION (Please ✓)**

- ☐ Opt-in facility to receive physical copy of the scheme - wise annual report or abridged summary there of.
- ☐ I/We wish to receive Account Statement/Annual Reports/Quarterly Statements/Newsletter/Updates or any other Statutory Information via E-mail/SMS alerts in lieu of Physical Documents.
- ☐ I/We would like to know more about Shriram MF products over the telephone / Mailer.

**5. BANK ACCOUNT DETAILS - MANDATORY (For multiple banks registration please submit the Multiple Bank Registration Form)**

Name of the Bank	
Branch Address	
Bank Branch City	State
Account No.	A/C. Type (Please ✓) <input type="checkbox"/> Savings <input type="checkbox"/> NRE <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> FCNR
9 digit MICR Code	11 digit IFSC Code
(Mandatory for credit via NEFT/RTGS)	
Please attach a cancelled cheque OR a clear photo copy of a cheque	

**ACKNOWLEDGEMENT SLIP (To be filled in by the Sole / First Applicant)**



**SHRIRAM LONG TERM EQUITY FUND**

Application No. \_\_\_\_\_

511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059  
Website : www.shriramamc.in

Received from Mr. / Ms. / M/s. _____	Date      /      /
an application for purchase of units of <b>SHRIRAM LONG TERM EQUITY FUND</b> for Rs. _____ on date	Stamp, Signature & Date

"In case there is any change in your KYC information please update the same by using the prescribed 'KYC Change Request Form' and submit the same at the Point of Service of any KYC Registration Agency"



**10. FATCA AND CRS DETAILS FOR INDIVIDUALS (Including Sole Proprietor) (Mandatory)**

Non Individual Investors should mandatorily fill separate **FATCA Form** (The below information is required for all applications guardian.

	Place/City of Birth	Country of Birth	Country of Citizenship / Nationality		
First Applicant/Guardian			<input type="checkbox"/> Indian	<input type="checkbox"/> U.S.	<input type="checkbox"/> Others (Please Specify) _____
Second Applicant			<input type="checkbox"/> Indian	<input type="checkbox"/> U.S.	<input type="checkbox"/> Others (Please Specify) _____
Third Applicant			<input type="checkbox"/> Indian	<input type="checkbox"/> U.S.	<input type="checkbox"/> Others (Please Specify) _____

Are you a tax resident (i.e. are you assessed for Tax) in any other country outside India? ☐ Yes ☐ No [Please tick ( )]

If "Yes" please fill for All countries (Other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen/Resident /Green Card Holder /Tax Resident in the respective countries.

	Country of Tax Residency	Tax identification number or Functional Equivalent	Identification Type (TIN or other please specify)	Country of Citizenship / Nationality		
First Applicant/Guardian				Reason :	A <input type="checkbox"/>	B <input type="checkbox"/> C <input type="checkbox"/>
Second Applicant				Reason :	A <input type="checkbox"/>	B <input type="checkbox"/> C <input type="checkbox"/>
Third Applicant				Reason :	A <input type="checkbox"/>	B <input type="checkbox"/> C <input type="checkbox"/>

☐ Reason A : The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents.

☐ Reason B : No TIN required (Select this 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: \_\_\_\_\_

**Address Type of Sole/1st Holder :**

☐ Residential ☐ Registered Office ☐ Business

**Address Type of 2nd Holder :**

☐ Residential ☐ Registered Office ☐ Business

**Address Type of 3rd Holder :**

☐ Residential ☐ Registered Office ☐ Business

FATCA Form for Non Individual is available on the website of AMC i.e. www.shriramamc.in or at the CAMS Investor Service

**11. NOMINATION DETAILS [Minor / HUF / POA Holder / Non Individuals Cannot Nominate]**

I/We \_\_\_\_\_ do hereby nominate the undermentioned Nominee(s) to receive the units to my/our credit in the folio no. in the event of my/our death. I/We also understand that all payments made to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be a valid discharge by the AMC / Mutual Fund / Trustees.

No.	Nominee(s) Name	PAN	Relationship	% of Share*	Date of Birth								Nominee(s) Signature	
1					D	D	M	M	Y	Y	Y	Y		
2					D	D	M	M	Y	Y	Y	Y		
3					D	D	M	M	Y	Y	Y	Y		
No.	Name of the Guardian (In case of Nominee is Minor)												Guardian(s) Signature	
1														
2														
3														

\* If the percentage of share is not mentioned then the claim will be settled equally amongst all the indicated nominee(s)

☐ I/We do not wish to nominate anybody on my/our behalf.

Signature of the declarant

**12. DECLARATION**

I/We have read, understand and hereby agree to abide by the Scheme information Document/ Key information Memorandum of the Scheme(s), Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) under FATCA & CRS provision of the Central Board of Director Taxes notified Rules 114 F to 114 H, as part of the Income Tax Rules, 1962. I/We hereby apply to the Shriram Mutual Fund for allotment of units of the Scheme, as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I / We hereby confirm and certify that the source of these funds is not directly / indirectly a result of "proceeds of crime" as defined in "The Prevention of Money Laundering Act, 2002" and I/we undertake to provide all necessary proof/ documentation, if any, required to substantiate the facts of this undertaking. I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I / We authorize the Fund to disclose details of my/our account and all my/our transactions to the intermediary whose stamp appears on the application form. I/We also authorize the Fund to disclose details as necessary, to the Fund's and investor's bankers for the purpose of effecting payments to me/ us. Applicable to NRIs only : 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 approved banking channels or from funds in my/our Non-Resident External / Ordinary Account/FCNR/NRNR Account.

Investment in the scheme is made by me / us on : ☐ Repatriation basis ☐ Non Repatriation basis.

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.

Signature

First / Sole Applicant / Guardian	Second Applicant	Third Applicant
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# Form for Fresh Nomination / Change of Existing Nomination/ Cancellation of Nomination

Applicable for Individual Unitholders only - whether holding Units Singly or Jointly with other holders  
Please read the instructions carefully before filling up this form

Name of 1st Holder \_\_\_\_\_

Name of 2nd Holder \_\_\_\_\_

Name of 3rd Holder \_\_\_\_\_

I/We, the above named Unitholders of \_\_\_\_\_ Mutual Fund, do hereby

☐ Nominate the person(s) more particularly described hereunder to receive the Units held my/our Folio/s listed below in the event of my / our death and/or

☐ Cancel the nomination(s) made by me / us previously in respect of the units held by me/ us in the Folio/s listed below

(tick whichever is applicable).

Scheme Name	Folio No.
1.	
2.	
3.	
4.	

Name of the 1st Nominee	% of Allocation
PAN of the Nominee/Guardian*	Date of Birth of Nominee* DD/MM/YYYY
Name of the Guardian *	
Guardian's Relationship with Nominee <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	
Proof of relationship ? Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others	
Address	
City	State PIN

Name of the 2nd Nominee	% of Allocation
PAN of the Nominee/Guardian*	Date of Birth of Nominee* DD/MM/YYYY
Name of the Guardian *	
Guardian's Relationship with Nominee <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	
Proof of relationship ? Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others	
Address	
City	State PIN

Name of the 3rd Nominee	% of Allocation
PAN of the Nominee/Guardian*	Date of Birth of Nominee* DD/MM/YYYY
Name of the Guardian *	
Guardian's Relationship with Nominee <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	
Proof of relationship ? Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others	
Address	
City	State PIN

\*applicable in case the Nominee is a Minor. (Also, please attach a copy of the minor's birth certificate)

☐ I/We DO NOT wish to make a nomination. (Please tick ✓ if the unitholder does not wish to nominate anyone)

I/We have read and understood the instructions on nomination given below/overleaf and I/We hereby undertake to abide by the same. The instructions contained herein supercedes all previous nominations made by me/us in respect of the folio(s) mentioned above.

Signature of the 1st unitholder	Signature of the 2nd unitholder	Signature of the 3rd unitholder
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## **Instructions**

1. The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly.
2. Non-individuals including a Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu undivided family, a Power of Attorney holder and/or Guardian of Minor unitholder cannot nominate.
3. Nomination is not allowed in a folio of a Minor unitholder.
4. If the units are held jointly (i.e., in case of multiple unitholders in the folio), all joint holders need to sign the Nomination Form (even if the mode of holding/operation is on "Anyone or Survivor" basis).
5. A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee needs to be provided.
6. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
7. The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder.
8. A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
9. Multiple Nominees: Nomination can be made in favour of multiple nominees, subject to a maximum of three nominees. In case of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals, adding upto a total of 100%. If the total percentage of allocation amongst multiple nominees does not add up to 100%, the nomination request shall be treated as invalid and rejected. If the percentage of allocation/ share for each of the nominee is not mentioned, the allocation /claim settlement shall be made equally amongst all the nominees.
10. Every new nomination for a folio/account shall overwrite the existing nomination, if any.
11. Nomination made by a unit holder shall be applicable for units held in all the schemes under the respective folio / account.
12. Nomination shall stand rescinded upon the transfer of units.
13. Death of Nominee/s: In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, the said nominee's share will be distributed equally amongst the surviving nominees.
14. Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/ Mutual Fund / Trustees against the legal heir(s).
15. Cancellation of Nomination: Request for cancellation of Nomination made can be made only by the unitholders. The nomination shall stand rescinded on cancellation of the nomination and the AMC shall not be under any obligation to transfer / transmit the units in favour of the Nominee.
16. Unitholders who do not wish to nominate are required to confirm the same by indicating their choice in the space provided in the nomination form.
17. The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC.
18. In respect of folios/accounts where the Nomination has been registered, the AMC will not entertain any request for transmission / claim settlement from any person other than the registered nominee(s), unless so directed by any competent court.



## **Form for Opting out of Nomination**

[To be signed by ALL holders, irrespective of Mode of Holding or Mode of Operation.]

Date DD-MM-YYYY

To

\_\_\_\_\_ Mutual Fund

### **Declaration of Opting out of Nomination**

I / We, the undersigned applicant(s)/unitholder(s) hereby confirm that I / we do not wish to appoint any nominee(s) in respect of the mutual fund application(s)/units held in my / our mutual fund folio(s) mentioned hereinbelow :

Application Number(s)/ Folio Number(s) /		

I/We understand the implications / issues involved in non-appointment of any nominee(s) and am/ are further aware that in case of my demise / death of all the unit holders in the folio, my / our legal heir(s) would need to submit all the requisite documents issued by the Court or such other competent authority, as may be required by the Mutual Fund / AMC for settlement of death claim / transmission of units in favour of the legal heir(s), based on the value of the units held in the mutual fund folio/s.

	<b>Name of the Applicant/ Unitholder</b>	<b>Signature</b>
<b>Sole / 1st Holder</b>		
<b>2nd Holder</b>		
<b>3rd Holder</b>		



# Third Party Payment Declaration Form



Third Party Payment Declaration Form should be completed in English and in BLOCK LETTERS only.  
(Please read the Third Party Payment Rules and Instructions carefully before completing this Form)

Declaration Form No.

## FOR OFFICE USE ONLY

Date of Receipt	Folio No.	Branch Trans. No.
-----------------	-----------	-------------------

## 1. BENEFICIAL INVESTOR INFORMATION (Refer Instruction No. 2)

Folio No. (For existing investor)	Application No.
NAME OF FIRST/SOLE APPLICANT (BENEFICIAL INVESTOR)	
Mr. Ms. M/s.	

## 2. THIRD PARTY INFORMATION (Refer Instruction No. 3)

NAME OF THIRD PARTY (PERSON MAKING THE PAYMENT)			
Mr. Ms. M/s.			
Nationality	PAN#	KYC**	(Please tick (✓) <input type="checkbox"/> Attached (Mandatory for any amount))
#Mandatory for any amount. Please attach PAN Proof. Refer instruction No. 6. ** Refer instruction No. 8.			
NAME OF CONTACT PERSON & DESIGNATION (in case of non-Individual Third Party)			
Mr. Ms.			
Designation			
MAILING ADDRESS (P.O. Box Address may not be sufficient)			
CITY	STATE	PIN CODE	
CONTACT DETAILS			
STD Code			
Tel. Off.	Tel. Resi.	Mobile	
Fax	E-mail		
RELATIONSHIP OF THIRD PARTY WITH THE BENEFICIAL INVESTOR (Refer Instruction No. 3) (Please tick (✓) as applicable)			
Status of the Beneficial Investor	<input type="checkbox"/> Minor	<input type="checkbox"/> FII <input type="checkbox"/> Client	<input type="checkbox"/> Employee(s)
Relationship of Third Party with the Beneficial Investor	<input type="checkbox"/> Father/Mother/Court appointed Legal Guardian (Please attach proof of relationship, if not already submitted) <input type="checkbox"/> Grand Parent <input type="checkbox"/> Related Person (Please specify relationship) (Maximum investment - Rs. 50,000/- per transaction)	Custodian - SEBI Registration No. of Custodian Registration Valid Till <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"/>	Employer
Declaration by Third Party	I/We declare that the payment made on behalf of minor is in consideration of natural love and affection or as a gift.	I/We declare that the payment is made on behalf of FII/ Client and the source of this payment is from funds provided to us by FII/Client.	I/We declare that the payment is made on behalf of employee(s) under Systematic Investment Plans or as lump sum/one-time subscription, through Payroll Deductions.

## 3. THIRD PARTY PAYMENT DETAILS (Refer Instruction No. 4)

Mode of Payment [Please tick (✓)]	Mandatory Enclosure(s)*
Cheque <input type="checkbox"/>	In case the account number and account holder name of the third party is not pre-printed on the cheque then a copy of the bank passbook / statement of bank account or letter from the bank certifying that the third party maintains a bank account.
Pay Order <input type="checkbox"/>	Certificate from the Issuing Banker stating the Bank Account Holder's Name and Bank Account Number debited for issue of the instrument or Copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the third party as an account holder are available or Copy of the passbook/bank statement evidencing the debit for issuance of the instrument.
Demand Draft <input type="checkbox"/>	
Banker's Cheque <input type="checkbox"/>	
RTGS <input type="checkbox"/>	Copy of the Instruction to the Bank stating the Bank Account Number which has been debited.
NEFT <input type="checkbox"/>	
Fund Transfer <input type="checkbox"/>	

\* SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited ("SHRIRAM AMC") reserves the right to seek information and /or obtain such other additional documents/information from the Third Party for establishing the identity of the Third Party.

	in figures (Rs.)	
	in words	
Cheque/DD/PO/UTR No.		Cheque/DD/PO/RTGS Date <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"/>
		DD MM YYYY
Pay-in Bank A/c No.		
Name of the Bank		
Branch	Bank City	
Account Type [Please tick (✓)]	<input type="checkbox"/> SAVINGS <input type="checkbox"/> CURRENT <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> FCNR <input type="checkbox"/> OTHERS (please specify)	

# including Demand Draft charges, if any.

**4. DECLARATIONS & SIGNATURE/S (Refer Instruction No. 5)****THIRD PARTY DECLARATION**

I/We confirm having read and understood the Third Party Payment rules, as given below and hereby agree to be bound by the same.

I/We declare that the information declared herein is true and correct, which SHRIRAM Mutual Fund is entitled to verify directly or indirectly. I agree to furnish such further information as SHRIRAM Mutual Fund may require from me/us. I/We agree that, if any such declarations made by me/us are found to be incorrect or incomplete, SHRIRAM Mutual Fund/SHRIRAM AMC is not bound to pay any interest or compensation of whatsoever nature on the said payment received from me/us and shall have absolute discretion to reject / not process the Application Form received from the Beneficial Investor(s) and refund the subscription monies.

I/We hereby declare that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We will assume personal liability for any claim, loss and/ or damage of whatsoever nature that SHRIRAM Mutual Fund/SHRIRAM AMC may suffer as a result of accepting the aforesaid payment from me/us towards processing of the transaction in favour of the beneficial investor(s) as detailed in the Application Form.

**Applicable to NRIs/OCIs only :**

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.

Please (✓) ☐ Yes ☐ No

If yes, (✓) ☐ Repatriation basis

☐ Non-repatriation basis

DD	MM	YYYY
<input type="text"/>	<input type="text"/>	<input type="text"/>

\_\_\_\_\_  
Signature of the Third Party

**BENEFICIAL INVESTOR(S) DECLARATION**

I/We certify that the information declared herein by the Third Party is true and correct.

I/We acknowledge that SHRIRAM Mutual Fund reserves the right in its sole discretion to reject/ not process the Application Form and refund the payment received from the aforesaid Third Party and the declaration made by the Third Party will apply solely to my/our transaction as the beneficial investor(s) detailed in the Application Form. SHRIRAM Mutual Fund/ SHRIRAM AMC will not be liable for any damages or losses or any claims of whatsoever nature arising out of any delay or failure to process this transaction due to occurrences beyond the control of SHRIRAM Mutual Fund/SHRIRAM AMC.

**Applicable to Guardian receiving funds on behalf of Minor only :**

I/We confirm that I/We are the guardian of the Minor registered in folio and have no objection to the funds received towards Subscription of Units in this Scheme on behalf of the minor.

DD	MM	YYYY
<input type="text"/>	<input type="text"/>	<input type="text"/>

SIGNATURE/S

First / Sole  
Applicant /  
Guardian

Second  
Applicant

Third  
Applicant

**THIRD PARTY PAYMENT RULES**

1. In order to enhance compliance with Know your Customer (KYC) norms under the Prevention of Money Laundering Act, 2002 (PMLA) and to mitigate the risks associated with acceptance of third party payments, Association of Mutual Funds of India (AMFI) issued best practice guidelines on "risk mitigation process against third party instruments and other payment modes for mutual fund subscriptions". AMFI has issued the said best practice guidelines requiring mutual funds/asset management companies to ensure that Third-Party payments are not used for mutual fund subscriptions

2a. The following words and expressions shall have the meaning specified herein :

- (a) "Beneficial Investor" is the first named applicant/investor in whose name the application for subscription of Units is applied for with the Mutual Fund.
- (b) "Third Party" means any person making payment towards subscription of Units in the name of the Beneficial Investor.
- (c) "Third Party payment" is referred to as a payment made through instruments issued from a bank account other than that of the first named applicant/ investor mentioned in the application form.

**Illustrations**

Illustration 1 : An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of B, C & Y. This will be considered as Third Party payment.

Illustration 2 : An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of C, A & B. This will not be considered as Third Party payment.

Illustration 3 : An Application submitted in joint names of A, B & C along with cheque issued from a bank account in name of A. This will not be considered as Third Party payment.

2b. SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited ('SHRIRAM AMC') will not accept subscriptions with Third Party payments except in the following exceptional cases, which is subject to submission of requisite documentation/ declarations :

- (i) Payment by Parents/Grand-Parents/Related Persons\* on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- for each regular Purchase or per SIP installment. However, this restriction of Rs. 50,000/- will not be applicable for payment made by a Guardian whose name is registered in the records of Mutual Fund in that folio (i.e. father, mother or court appointed Legal Guardian).
- (ii) Payment by Employer on behalf of employee under Systematic Investment Plans or Lump sum/ one-time subscription, through payroll deductions out of expense reimbursements.
- (iii) Custodian on behalf of an FII or a Client.

\* 'Related Person' means any person investing on behalf of a minor in consideration of natural love and affection or as a gift.

2c. Applications submitted through the above mentioned 'exceptional cases' are required to comply with the following, without which applications for subscriptions for units will be rejected / not processed / refunded.

- (i) Mandatory KYC for all investors (guardian in case of minor) and the person making the payment i.e. third party.
- (ii) Submission of a complete and valid 'Third Party Payment Declaration Form' from the investors (guardian in case of minor) and the person making the payment i.e. third party.

2d. Investor(s) are requested to note that any application for subscription of Units of the Scheme(s) of SHRIRAM Mutual Fund accompanied with Third Party payment other than the above mentioned exceptional cases as described in Rule (2b) above is liable for rejection without any recourse to Third Party or the applicant investor(s).

The above mentioned Third Party Payment Rules are subject to change from time to time. Please contact any of the Investor Service Centres of SHRIRAM AMC or visit our website [www.shriramamc.in](http://www.shriramamc.in) for any further information or updates on the same.

## INSTRUCTIONS FOR THIRD PARTY PAYMENT DECLARATION FORM

### 1. GENERAL INSTRUCTIONS

Please read the terms of the Key Information Memorandum, the Scheme Information Document (SID) and Statement of Additional Information (SAI) carefully before filling the Third Party Payment Declaration Form (hereinafter referred to as 'Declaration Form').

The Declaration Form should be completed in ENGLISH and in BLOCK LETTERS only. Please tick in the appropriate box for relevant declarations wherever applicable. Please do not overwrite. Any correction / changes (if any) made in the Declaration Form, shall be authenticated by canceling and re-writing the correct details and counter signature of the Third Party and the Beneficial Investor(s).

Applications along with the Declaration Form completed in all respects, must be submitted at the Official Points of Acceptance of SHRIRAM Mutual Fund.

In case the Declaration Form does not comply with the above requirements, SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited (SHRIRAM AMC) retains the sole and absolute discretion to reject / not process such Declaration Form and where required, refund the subscription money to the account from which such money was remitted and shall not be liable for any such rejection.

### 2. BENEFICIAL INVESTOR INFORMATION

The Third Party should provide the Folio Number of the Beneficial Investor already having an account with SHRIRAM Mutual Fund. In case the Beneficial Investor does not have a Folio Number, the Third Party should mention the Application Number as stated in the Application Form. Name must be written in full.

### 3. THIRD PARTY INFORMATION

"Third Party" includes the Parent, Grand Parent, Related Person, Custodian of FII/Client, or Employer, making payment towards subscription of Units in the name of the Beneficial Investor(s).

Full Name and relationship of Third Party with the Beneficial Investor must be provided.

The Relationship declared by the Third Party will suggest that the payment made on behalf of Beneficial Investor(s) is :

- a. On behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (which includes each regular purchase or per SIP installment) made by Parents/Grand Parents/ Related Persons. However this restriction of Rs. 50,000/- will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio (i.e. father or mother or court appointed legal guardian).
- or
- b. On behalf of employee under Systematic Investment Plans or as lump sum/onetime subscription, through Payroll deductions made by employer; or
- c. On behalf of an FII or a Client made by the Custodian.

Mailing address and contact details of Third Party must be written in full.

### 4. THIRD PARTY PAYMENT DETAILS

Third Party must provide in the Declaration Form the details of the Pay-in Bank Account i.e. account from which subscription payment is made in the name of the Beneficial Investor(s).

The Declaration Form with incomplete payment details shall be rejected. The following document(s) is/are required to be submitted by Third Party as per the mode of payment selected :

#### (i) Source of funds - if paid by cheque

In case the account number and account holder name of the third party is not preprinted on the cheque, then the third party should provide any one of the following documents :

1. a copy# of the bank passbook or a statement of bank account having the name and address of the account holder and account number;
2. a letter (in original) from the bank on its letterhead certifying that the third party maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available). The said letter should be certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number.

# the original documents along with the documents mentioned above should be submitted to the ISCs / Official Points of Acceptance of SHRIRAM Mutual Fund.

The copy of such documents will be verified with the original documents to the satisfaction of the SHRIRAM AMC/ SHRIRAM Mutual Fund / Registrar and Transfer Agent. The original documents will be returned across the counter after due verification.

#### (ii) Source of funds - if funded by pre-funded investments such as Pay Order, Demand Draft, Banker's cheque etc.

The Third Party should attach any one of the following supporting documents with the purchase application where subscription for units is vide a pre-funded instrument issued by way of debit to his / her bank account: (i) a Certificate (in original) from the issuing banker duly certified by the employee signing the pre-funded instrument with his / her full signature, name, employee code, bank seal and contact number, stating the Account holder's name, the Bank Account Number which has been debited for issue of the instrument (Mandatory) and PAN as per bank records, if available (ii) a copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and

name of the third party as an account holder are available (iii) a copy of the passbook/bank statement evidencing the debit for issuance of the instrument.

The account number mentioned in the above supporting documents should be the same as the bank details mentioned in the application form.

#### (iii) Source of funds - if paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS, etc.

Acknowledged copy of the instruction to the bank stating the account number debited.

#### (iv) Source of funds - if paid by a pre-funded instrument issued by the Bank against Cash

The AMC/Mutual Fund/R&TA will not accept any purchase applications from investors if accompanied by a pre-funded instrument issued by a bank against cash for investments of Rs. 50,000 or more. This also should be accompanied by a Certificate (in original) obtained from the bank giving name, address, Bank account number and PAN (if available) of the person who has requested for the payment instrument. The said Certificate should be duly certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number. The AMC/Mutual Fund/R&TA will check that the name mentioned in the Certificate matches with the first named investor.

The account number mentioned in the Certificate should be the same as / one of the registered bank account or the bank details mentioned in the application form.

### 5. SIGNATURE(S)

Signature(s) should be in English or in any Indian Language. Declarations on behalf of minors should be signed by their Guardian.

### 6. PERMANENT ACCOUNT NUMBER

It is mandatory for the Third Party to mention the permanent account number (PAN) irrespective of the amount of Purchase\*. In order to verify that the PAN of Third Party has been duly and correctly quoted therein, the Third Party shall attach along with the Declaration Form, a photocopy of the PAN card duly self-certified.

\*includes fresh/additional purchase, Systematic Investment Plan.

Declaration Forms not complying with the above requirement will not be accepted/ processed.

For further details, please refer Section 'Permanent Account Number' under the Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

### 7. PREVENTION OF MONEY LAUNDERING

SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 and other circulars issued from time to time, mandated that all intermediaries including Mutual Funds should formulate and implement a proper policy framework as per the guidelines on anti-money laundering measures and also to adopt a Know Your Customer (KYC) policy.

The Third Party should ensure that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act (PMLA), Prevention of Corruption Act and / or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the Third Party and with a view to monitor transactions for the prevention of money laundering, SHRIRAM AMC/ SHRIRAM Mutual Fund reserves the right to seek information, record investor's/Third party's telephonic calls and/or obtain and retain documentation for establishing the identity of the third party, their beneficial ownership, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

SHRIRAM Mutual Fund, SHRIRAM AMC, Board of Trustees and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios/rejection of any application / allotment of Units or mandatory redemption of Units due to non compliance with the provisions of the PMLA, SEBI/AMFI circular(s) and KYC policy and / or where the AMC believes that transaction is suspicious in nature within the purview of the Act and SEBI/AMFI circular(s) and reporting the same to FIU-IND

For further details, please refer Section 'Prevention of Money Laundering' under the Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

### 8. KNOW YOUR CUSTOMER (KYC) COMPLIANCE

It is mandatory for the Third Party to quote the KYC Compliance Status and attach proof of KYC Compliance viz. KYC Acknowledgement Letter (or Printout of KYC Compliance Status downloaded from CVL website ([www.cvlindia.com](http://www.cvlindia.com))) using the PAN. Declaration Form without a valid KYC Compliance of Third Party will be rejected.

In the event of non-compliance of KYC requirements, Board of Trustees/SHRIRAM AMC reserves the right to freeze the folio of the investor(s) and effect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any.

For further details, please refer Section 'Know Your Customer (KYC) Compliance' under the Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

*This page has been kept blank intentionally*

# Enrolment Form for SIP / Micro SIP

[For OTM registered investors only]

(Please read terms & conditions overleaf)

Important : Please strike out the Section(s) that is/are not used by you to avoid any unauthorised use

Enrolment Form no. : S/



SIP/ Micro SIP via ECS/NACH (Debit Clearing) in select cities or via Direct Debit/Standing Instruction in select banks / branches only.

KEY PARTNER / AGENT INFORMATION (Investors applying under Direct Plan must mention "Direct" in ARN column.)					FOR OFFICE USE ONLY (TIME STAMP)
ARN	ARN Name	Sub-Broker ARN / Bank Branch Code	Internal Code for Sub-Agent/ Employee	Employee Unique Identification Number (EUIN)	
ARN-					

Declaration for "execution-only" transaction (only where EUIN box is left blank) (Refer Item No. 3a)

I / We hereby confirm that the EUIN box has been intentionally left blank by me / us as this is an "execution-only" transaction without any interaction or advice by the employee / relationship manager/ sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee / relationship manager / sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

Sign Here First/Sole Applicant/Guardian	Sign Here Second Applicant	Sign Here Third Applicant
--	-------------------------------	------------------------------

Transaction Charges for Applications through Distributors only (Refer Item No. 16 and please tick (✓) any one)

Date D D M M Y Y Y Y

☐ I confirm that I am a First time invest or across Mutual Funds.

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

(Rs. 150 deductible as Transaction Charge and payable to the Distributor)

(Rs. 100 deductible as Transaction Charge and payable to the Distributor)

If the total commitment of investment through SIP (i.e. amount per SIP installment X no. of installments) amounts to Rs.10,000 or more and your Distributor has opted to receive transaction Charges, the same are deductible as applicable from the installment amount and payable to the Distributor. In such cases Transaction Charge will be recoverable in 3-4 installments. Units will be issued against the balance of the installment amounts invested.

Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various factors including the service rendered by the ARN Holder.

I/ We have read and understood the contents of the Scheme Information Document(s) and Statement of Additional Information and the terms & conditions of enrolment for Systematic investment Plan (SIP) and of NACH/ECS (Debit Clearing) / Direct Debit / Standing Instruction facilities and agree to abide by the same. I /We hereby apply to the Trustee of SHRIRAM Mutual Fund for SIP application under of the following Scheme(s)/ Plan(s) / Option(s) and agree to abide by the terms and conditions of the same. I/ We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various mutual Funds from amongst which the Scheme is being recommended to me/us.

Applicable to PEKRN Holders : I, the first / sole holder, also hereby declare that I do not hold a Permanent Account Number and hold only a single PAN Exempt Reference No. (PEKRN) issued by KYC Registration Authority and that my existing investments together with the current application will not result in aggregate investments exceeding Rs. 50,000/- in a rolling 12 months period or in a financial year.

Applicable to application under Direct Plan : I/We hereby declare and confirm that I/We have read and understood the Scheme related documents pertaining to the "Direct Plan" and also confirm that the investments in Scheme through "Direct Plan" is/are made at my own discretion. SHRIRAM Mutual Fund/SHRIRAMAMC/Trustee shall not be liable for any consequences arising out of such investments.

Please (✓) any one. In the absence of indication of the option the form is liable to be rejected.

☐ NEW REGISTRATION

☐ CHANGE IN BANK ACCOUNT

☐ CANCELLATION (Refer Item No. 11)

## INVESTOR DETAILS

Application No. (For New Investor) / Folio No. (For Existing Investor)

SIGNATURE (Refer Item No. 3(c))

Sole/1st Applicant (As per Aadhaar)

PAN# or PEKRN# KYC# (Mandatory) [Please tick (✓)] ☐ Proof Attached

Name of Guardian (As per Aadhaar) (in case Applicant is minor)

PAN# or PEKRN# KYC# (Mandatory) [Please tick (✓)] ☐ Proof Attached

Second Applicant (As per Aadhaar)

PAN# or PEKRN# KYC# (Mandatory) [Please tick (✓)] ☐ Proof Attached

Third Applicant (As per Aadhaar)

PAN# or PEKRN# KYC# (Mandatory) [Please tick (✓)] ☐ Proof Attached

# Please attach Proof. If PAN/PEKRN/KYC is already validated please don't attach any proof. Refer Item No. 15 and 16.

Scheme

(Investors applying under Direct Plan must mention "Direct" against the Scheme name).

Plan Option

Each SIP/ Micro SIP Amount (Rs.) Frequency \* ☐ Monthly ☐ Quarterly (\*Default Frequency) [Refer Item No. 6(iv)]

## ACKNOWLEDGEMENT SLIP (To be filled in by the Unit holder)

Date : SHRIRAM MUTUAL FUND Administrative Head Office : 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059 Enrolment Form No. : S/

Received from Mr./Ms./M/s. 'SIP/Micro SIP' application for ISC Stamp & Signature

Scheme / Plan / Option

Total Amount (Rs.) Please Note : All purchases are subject to realisation of cheques

"In case there is any change in your KYC information please update the same by using the prescribed 'KYC Change Request Form' and submit the same at the Point of Service of any KYC Registration Agency"

SIP/Micro SIP Date <input type="checkbox"/> 1st <input type="checkbox"/> 5th <input type="checkbox"/> *15th <input type="checkbox"/> 20th <input type="checkbox"/> 25th <input type="checkbox"/> Any other day (Please Specify) <input type="text"/>	
[Default : 15th*] [Refer Item No. 6(iv)]	
SIP/Micro SIP Period Start From <input type="text"/>	End On** <input type="text"/> **Please refer Item No. 6(ii) and 7(b)
First SIP/ Micro SIP Transaction via Cheque No. <input type="text"/>	Cheque Dated <input type="text"/> Amount @ (Rs.) <input type="text"/>
Mandatory Enclosure (if 1st Installment is not by cheque) <input type="checkbox"/> Blank cancelled cheque <input type="checkbox"/> Copy of cheque <input type="checkbox"/>	@ The first cheque amount should be same as each SIP Amount.
The name of the first / sole applicant must be pre-printed on the cheque.	

DEMAT ACCOUNT DETAILS*	NSDL	CDSL
(Optional - refer instruction 10)		
Investor opting to hold units in demat form may provide a copy of the DP statement to match the demat details as stated in the application form.	DP Name <input type="text"/> DP ID <input type="text"/> Beneficiary Account No. <input type="text"/>	<input type="text"/>
I/we hereby authorise SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited and their authorised service providers, to debit my/our following bank account by ECS (Debit Clearing) / Direct Debit / Standing Instruction for collection of SIP/ Micro SIP payments.		

BANK DETAILS	
Bank Name	<input type="text"/>
Branch Name	<input type="text"/> Bank City <input type="text"/>
Account Number	<input type="text"/>
9 Digit MICR Code	<input type="text"/> ◀ (Please enter the 9 digit number that appears after the cheque number)
Account Type (Please ✓) <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> FCNR <input type="checkbox"/> Others (please specify) _____	
Account holder Name as in Bank Account	<input type="text"/>
<input type="checkbox"/> SIP Top-up (Optional) (Refer Item No. 7e)	(Please ✓ to avail this facility)
Top-up Amount (Rs.) <input type="text"/>	(The amount should be in multiples of Rs. 500 only)
SIP Top-up Frequency : <input type="checkbox"/> Half-yearly <input type="checkbox"/> Yearly (Quarterly SIP offers top-up frequency at yearly intervals only).	

I / We hereby confirm and declare as under :	
I/ We have read, understood and agree to comply with the terms and conditions of OTM Facility, Scheme related documents of the Scheme and the terms & conditions of enrolment for Systematic Investment Plan (SIP).	
<b>The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various mutual Funds from amongst which the Scheme is being recommended to me/us.</b>	

Applicable to SIP Top-up facility (not available under Micro SIP) :	
I/We hereby agree to avail the top-up facility for SIP and authorize my bank to execute the NACH/ECS/Direct Debit/Standing Instruction for a further increase in installment from my designated account.	
Please write SIP Enrolment Form no. / Folio no. on the reverse of the cheque.	

1st Account Holder's Signature (As in Bank Records)	2nd Account Holder's Signature (As in Bank Records)	3rd Account Holder's Signature (As in Bank Records)

For Office Use only (Not to be filled in by Investor)	
Recorded on <input type="text"/>	Scheme Code <input type="text"/>
Recorded by <input type="text"/>	Credit Account Number <input type="text"/>



## SIP / MICRO SIP TERMS & CONDITIONS FOR ECS (DIRECT CLEARING) / DIRECT DEBIT FACILITY / STANDING INSTRUCTION

The form can be used by investors who wish to enroll for SIP or Micro SIP (PAN exempt investments) facility. However, Investors shall submit separate forms in case they wish to enroll for both SIP and Micro SIP facility.

Micro Systematic Investment Plans (Micro SIPs) where aggregate of investments (Lump sum plus SIP) in a rolling 12 month period or in a financial year i.e. April to March do not exceed Rs. 50,000 shall be exempt from the requirement of PAN. However, such investors shall be required to quote PAN Exempt KYC Reference Number (PEKRN) details of which are given in PAN Exempt Investments in point no. 14 below.

1. SIP (includes reference to Micro SIP) is available to investors in the following Scheme(s) (including Direct Plan thereunder) of SHRIRAM MUTUAL FUND : SHRIRAM LONG TERM EQUITY FUND.

The above list is subject to change from time to time. Please contact the nearest Investor Service Centre (ISC) of SHRIRAM Mutual Fund for updated list.

2. Enrolment Form should be completed in English and in Block Letters only. Please tick (✓) in the appropriate box (□), where boxes have been provided. Enrolment Form complete in all respects, should be submitted at any of the Official Points of Acceptance of SHRIRAM Mutual Fund.

In case SIP/ Micro SIP investments are made through "Third Party Payments" i.e. payment made through an instrument issued from a bank account other than that of the first named applicant/ investor mentioned in the application form, Investors are required to additionally fillup "submit the" Third Party Payment Declaration Form. (available at any of our ISCs or on our website [www.shriramamc.in](http://www.shriramamc.in)) along with the SIP Enrolment Form.

3. a. Investment through Distributors

Agents / distributors are not entitled to sell units of mutual funds unless they are registered with Association of Mutual Funds in India (AMFI). Further, SEBI has made it compulsory for every employee/relationship manager/ sales person of the distributor of mutual fund products to quote the Employee Unique Identification Number (EUIIN) obtained by him/her from AMFI in the Application Form. EUIIN, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Hence, if your investments are routed through a distributor, please ensure that the EUIIN is correctly filled up in the Application Form.

However, if your distributor has not given you any advice pertaining to the investment, the EUIIN box may be left blank. In this case, you are required to provide a duly signed declaration to this effect, as given in the Form.

These requirements do not apply to Overseas Distributors.

New cadre distributors: SEBI has introduced a new cadre of distributors who can sell only „simple and performing. diversified equity schemes, index funds and fixed maturity plans. There is a prex of "SD" before the ARN number of such distributors. They also hold a EUIIN which must be quoted in the application form. The list of eligible schemes which may be sold by such distributors is available on [www.shriramamc.in](http://www.shriramamc.in). In case your application through such distributor is not for an eligible scheme, it is liable to be rejected.

### Direct Investments

Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.

- b. Investor holding folio of SHRIRAM Mutual Fund are required to submit only the Enrolment Form. Investor should provide their Folio Number. Investors details and mode of holding (single, joint, anyone or survivor) will be as per the existing folio number and would prevail over any conflicting information furnished in this form. Investor name should match with the details in the existing folio number, failing which the application form is liable to be rejected.
- c. Signature(s) should be as it appears on the Application Form / Folio and in the same order. In case the mode of holding is joint, all unit holders are required to sign.
4. a. New investors who wish to enroll are required to fill the
  - (i) NACH Form (ii) Enrolment Form (iii) the respective Scheme Application Form (included in the Key Information Memorandum) along with / without the initial investment instrument. Investors are advised to read the Scheme Information Document(s) / Key Information Memorandum(s) and Statement of Additional information available with the ISCs of SHRIRAM Mutual Fund, brokers/ distributors and also displayed at the SHRIRAM Mutual Fund website i.e. [www.shriramamc.in](http://www.shriramamc.in)
  - b. New investors can apply for SIP into respective Scheme/ Plans/ Options without any existing investment / folio. The provision for "Minimum Application Amount" specified in the respective Scheme Information Document will not be applicable for SIP investments. e.g. the minimum application amount for new investors.

In SHRIRAM LONG TERM EQUITY FUND - Growth Option is Rs. 500/-.

5. The facility is offered to investors the following two Plans (Frequency) :

- i) Monthly Systematic Investment Plan (MSIP)
- ii) Quarterly Systematic Investment Plan (QSIP)

6. (i) The details of minimum amount per installment, minimum number of installments, maximum duration etc. are given below :

Shriram Long Term Equity Fund :

Monthly SIP (MSIP) Minimum amount per SIP installment	Rs. 500/- and in multiples of Rs. 500/- thereafter
Quarterly SIP (QSIP) Minimum amount per SIP installment	Rs. 1500/- and in multiples of Rs. 500/- thereafter
No. of SIP Installments :	
a) Minimum Monthly	12 installments
Quarterly	4 installments
b) Maximum	No Limit

- (ii) There is no maximum duration for enrolment.

An investor has an option to choose the "End Date" of the SIP by filling the date.

However, SIPs will be registered in a folio held by a minor only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date. The facility will automatically stand terminated upon the Unit Holder attaining 18 years of age.

- (iii) In respect of enrollments, the Load Structure prevalent at the time of enrollment shall govern the investors during the tenure.

The Load Structure for investments through SIP is as follows :

- (a) Entry Load : Not Applicable. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered Distributor) directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.

- (b) Exit Load : Applicable Exit Load, if any, in the Scheme/Plan/Option as on the date of enrollment of the SIP will be levied.

For Scheme load structure please refer to Key Information Memorandum or contact the nearest Investor Service Centre (ISC) of SHRIRAM Mutual Fund or visit our website [www.shriramamc.in](http://www.shriramamc.in).

- (iv) In case the Frequency (Monthly/Quarterly) and date is not indicated, Monthly frequency shall be treated as the Default Frequency and 15th shall be treated as the Default date.

7. All installments are available on the 1st, 5th, 15th, 20th, 25th or any otherday (as specified) of a month. All installments under MSIP and QSIP should be of the same amount and same date. For example, if an investor is enrolling for the period July-December for total amount of Rs. 30,000/-, there shall be a minimum of six installments (except for first cheque which could be of any date) and same amount. The first cheque should be drawn on the same bank account which is to be registered for NACH/ECS (Debit Clearing)/Direct Debit/Standing Instruction. Alternatively, the cheque may be drawn on any bank, but investor should provide a photocopy of the cheque of the bank/ branch for which ECS (Debit Clearing)/Direct Debit/Standing Instruction are to be registered. However, investors need not submit the First Cheque for enrollment provided the Enrolment Form is attested by the Bank from which installment will be debited or copy of the cancelled cheque or photocopy of the cheque of bank account from which the installment will be debited is attached to the form.

- a. First Cheque and subsequent Installments via NACH/ECS (Debit Clearing)/Direct Debit/Standing Instruction should be of the same amount.

- b. The Enrolment Form should be submitted at least 30 days before the first date for NACH/ECS (Debit Clearing)/ Direct Debit / Standing Instruction.

If the start period is not mentioned, the chosen/Default date falling 30 days from submission date will be considered as the start date and will be registered from that date (eg. If the application is submitted on June 1 without indicating the start period then the SIP start date would be July 1).

In case the auto debit start date as mentioned in the form does not satisfy this condition, the first date shall be rolled over to begin from the immediately following month (provided the roll over date does not exceed the maximum time gap of 90 days between the SIP submission date and first installment of SIP through NACH/ECS (Debit Clearing) or Direct Debit / Standing Instruction) and the end date shall accordingly get extended.

- c. Payment may be made by cheque drawn on any bank which is situated at and is a member of the "Bankers" Clearing House located at the place where the SIP application is submitted. No cash, money orders or postal orders will be accepted.

- d. In case, the name is not pre-printed on the cheque or signature on the cheque does not match, then the first named applicant/investor should submit any one of the following documents i.e. a copy of the bank passbook or a statement of bank account or a letter from the bank on its letterhead certifying the investors bank account details (Account Number, Type, Branch, MICR Code). For other

mode of payment and further details, please refer to the section "Third Party Payments" under the Instructions in the Key Information Memorandum and section .How to Apply. under Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

e. SIP Top-up Facility :

SIP Top-up Facility is not available under Micro SIPs

1. SIP Top-up is a facility wherein an investor who wishes to enroll for SIP, has an option to increase the amount of the SIP installment by a fixed amount at pre-defined intervals. The SIP Top-up amount should be filled in the SIP Enrolment Form itself.
2. The SIP Top-up amount should be in multiples of Rs. 500/- only.
3. Monthly SIP offers top-up frequency at half yearly and yearly intervals. Quarterly SIP offers top-up frequency at yearly intervals only. In case the top-up frequency is not indicated under Monthly SIP, it will be considered as yearly interval.

f. (i) Payment through Electronic Clearing Service NACH (ECS) (Debit Clearing) of the Reserve Bank of India (RBI) - Investors / Unit holders may also enroll for Auto Debit facility through NACH/ECS (Debit Clearing) of the RBI.

List of Cities for Auto Debit Facility via NACH/ECS (Debit Clearing) should conform to the NACH/ECS Debit locations approved by RBI. The same is available on [www.rbi.org.in](http://www.rbi.org.in) and on our website [www.shriramamc.in](http://www.shriramamc.in).

This facility is offered only to the investors having bank accounts in select cities.

The bank account provided for NACH/ECS (Debit) should participate in local MICR clearing.

Auto debit facility is available only on specific dates of the month as under:

The investor agrees to abide by the terms and conditions of NACH/ECS facility of RBI.

(ii) Payment through Direct Debit Facility

Investors / Unit holders may enroll for Direct Debit Facility available with the banks / branches with whom Shriram Mutual Fund may have an arrangement from time to time.

This facility shall be offered only to the investors having bank accounts in select banks/ branches eligible for this facility.

This facility shall be available on all SIP dates of a month / quarter once it is rolled out by the Mutual Fund.

(iii) Payment through Standing Instruction

Payment may also be accepted by direct debits to unit holders' bank accounts. For this purpose, unit holders are required to give standing instructions to their bankers (with whom SHRIRAM Mutual Fund may have an arrangement from time to time) to debit their bank accounts at periodic intervals and credit the subscription proceeds to the SHRIRAM Mutual Fund bank account.

The cities / banks / branches in the list may be modified/updated/changed/ removed at any time in future entirely at the discretion of SHRIRAM Mutual Fund / SHRIRAM Asset Management Company Limited without assigning any reasons or prior notice. If any city / bank / branch are removed, SIP instructions for investors in such city / bank / branch via NACH/ECS (Debit Clearing) / Direct Debit / Standing Instruction route will be discontinued without prior notice. Please contact the nearest Investor Service Centre of SHRIRAM Mutual Fund for updated list

8. Units will be allotted on the applicable dates subject to realization of funds where total SIP investments on a date amount to Rs. 2 lakh or more. In case date falls on the Non-Business Day or falls during a book closure period, the immediate next Business Day will be considered for the purpose of determining the applicability of NAV subject to the realization of the proceeds
9. The first cheque should be drawn in favor of "the Specific Scheme A/c Permanent Account Number" or "the Specific Scheme A/c First Investor Name" (e.g. in case of SBF the cheque should be drawn in favor of "SHRIRAM LONG TERM EQUITY FUND A/c ABCDE1234F" OR "SHRIRAM LONG TERM EQUITY FUND A/c Robin Saha"; and crossed "Account Payee only". Unit holders must write the SIP Enrolment Form number, if any, on the reverse of the cheque.
10. Investors have an option to hold the Units in dematerialized form. However, this facility is not available in case of units offered under the Daily/Weekly/Fortnightly IDCW Option(s). The units will be allotted in demat form based on the applicable NAV as per the terms of the respective Scheme Information Document(s) and will be credited to investor's Demat Account on weekly basis on realization of funds. For e.g. Units will be credited to investor's Demat account every Monday on the basis of realization status received during the last week (Monday to Friday).

Investors desiring to get allotment of units in demat mode 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). If PAN is not mentioned by applicants, the application is liable to be rejected. Investors may attach a copy of the Client Master Form / DP statement showing active demat account details for verification. Names, mode of holding, PAN details, etc. of the Investor will be verified against the Depository data. The units will be credited to the beneficiary (demat) account only after successful verification with the depository records and realization of payment. In case the

demat details mentioned in the application are incomplete/incorrect or do not match with the depository data, the application shall be treated as invalid for processing under demat mode and therefore may be considered for processing in non-demat form i.e. in physical mode if the application is otherwise valid.

All details such as address, bank details, nomination etc. will be applicable as available in the depositories. records. For effecting any subsequent changes to such information, Investors should approach their DP. Redemption requests for units held in demat mode must be submitted to DP or through Stock Exchange Platform, as applicable.

Holding / transacting of units held in demat mode shall be in accordance with the procedures / requirements laid down by the Depositories, viz. NSDL/ CDSL in accordance with the provisions under the Depositories Act, 1996 and the regulations thereunder.

11. You can choose to change your bank account or discontinue the facility by giving thirty days written notice to any of our Investor Service Centers. For cancellation request, please mention the start date as mentioned at the time of registration.
12. AMC reserves the right to freeze the folio of the investor(s) in cases where two consecutive installments are not honored or the Bank Account [for NACH/ECS (Debit clearing)/Direct Debit/Standing Instruction] is closed and request for change in bank account [for NACH/ECS (Debit clearing) / Direct Debit/Standing Instruction] is not submitted at least 30 days before the next SIP Auto Debit.
13. In case the first SIP installment is processed (as the cheque may be banked) and the application is found to be defective, the SIP registration will be ceased for future installments. Investor will be sent a communication to this effect. No refunds shall be made for the units already allotted. However, redemptions/ switch-outs shall be allowed.

14. Permanent Account Number (PAN)

(a) SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) except as mentioned in point (b) below. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her father or mother or the guardian, as the case may be. Applications not complying with the above requirement may not be accepted/ processed. PAN card copy is not required separately if KYC acknowledgement letter is made available.

For further details, please refer Section "Permanent Account Number" under Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

(b) PAN Exempt Investments

SEBI vide its circular dated July 24, 2012 has clarified that investments in mutual funds schemes (including investments in SIPs) of upto Rs.50,000 per investor per year across all schemes of the Fund shall be exempt from the requirement of PAN. Accordingly, individuals (including Joint Holders who are individuals, NRIs but not PIOs, Minors) and Sole proprietary firms who do not possess a PAN ("Eligible Investors")\* are exempt from submission of PAN for investments upto Rs.50,000 in a rolling 12 month period or in a financial year i.e. April to March. However, Eligible Investors are required to undergo Know Your Customer (KYC) procedure with any of the SEBI registered KYC Registration Authorities (KRA). Eligible Investors must quote PAN Exempt KYC Reference Number (PEKRN) issued by the KRA under the KYC acknowledgement letter in the application form and submit a copy thereof along with the application form. In case the applicant is a minor, PAN /PEKRN details of the Guardian shall be submitted, as applicable. Eligible Investors (i.e. the First Holder) must not possess a PAN at the time of submission of application form. Eligible investors must hold only one PEKRN issued by any one of the KRAs.

If an application for investment together within investments made in a rolling 12 month period or in a financial year exceeds Rs.50,000, such an application will be rejected.

Fresh / Additional Purchase and Systematic Investment Plans will be covered in the limit of Rs.50,000. Investors may switch their investments to other Schemes. However, if the amount per switch transaction is Rs.50,000 or more, in accordance with the extant Income Tax rules, investors will be required to furnish a copy of PAN to the Mutual Fund.

The detailed procedures / requirements for accepting applications shall be as specified by the AMC/Trustee from time to time and their decision in this behalf will be final and binding.

\* HUFs and other categories are not eligible for such

15. Know Your Customer (KYC) Compliance

Units held in account statement (non-demat) form

Investors should note that it is mandatory for all registrations to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application and attach proof of KYC Compliance viz. KYC Acknowledgement Letter.

Units held in electronic (demat) form

For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee / AMC.

For further details, please refer Section. Know Your Customer (KYC) Compliance under Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).



#### 16. Transaction Charges

In accordance with Para 10.5 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, as amended from time to time SHRIRAM Asset Management Company Limited ("the AMC")/Mutual Fund will deduct Transaction Charges from the purchase/ subscription amount received from the investors investing through a valid ARN Holder i.e. AMFI registered Distributor (provided the Distributor has opted-in to receive the Transaction Charges). The Distributor may opt to receive Transaction Charges based on the type of product Transaction Charge of Rs. 150/- (for a first time investor across mutual funds) or Rs. 100/- (for investor other than : first time mutual fund investor) per purchase / subscription of Rs. 10,000/- and above will be deducted from the purchase / subscription amount and paid to the Distributor. The balance amount shall be invested.

Transaction Charges in case of investments through SIP/Micro SIP Transaction Charges are deductible only if the total commitment of investment (i.e. amount per SIP/Micro SIP installment x No. of installments) amounts to Rs. 10,000/- or more. In such cases, Transaction Charges shall be deducted in 3-4 installments.

Transaction Charges shall not be deducted for :

- (a) where the Distributor of the investor has not opted to receive any Transaction Charges for your Scheme type
- (b) for purchases / subscriptions / total commitment amount in case of SIP of an amount less than Rs. 10000.
- (c) for transactions other than purchases / subscriptions relating to new inflows i.e. through Switches / Systematic Transfers / IDCW Transfers, etc.;
- (d) for purchases / subscriptions made directly with the Fund (i.e. not through any Distributor); and
- (e) for purchases / subscriptions routed through Stock Exchange (s)

First/Sole Applicant/Guardian should indicate whether he is a first time investor across Mutual Funds or an existing investor in the appropriate box provided for this purpose in the application form. SHRIRAM AMC/Fund will endeavor to identify the investor as "first time" or "existing" based on the Permanent Account Number (PAN)/ PEKRN at the First/Sole/Applicant/Guardian level. If the PAN/PEKRN details are available, then the First/Sole Applicant/Guardian will be treated as existing investor (i.e. Rs. 100/- will be deducted as Transaction Charge) else the declaration in the application form will be considered (i.e. Rs. 150/- for first time investors or Rs. 100/- for other than first time investors will be deducted as Transaction Charge, as applicable). However, if an investor has not provided any declaration, he will be considered as an "existing" investor.

- 17. a. Investors will not hold SHRIRAM Mutual Fund / SHRIRAM Asset Management Company Limited (SHRIRAM AMC) its registrars and other service providers responsible and/or liable if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to local holidays or any other reason.
  - b. SHRIRAM Mutual Fund / SHRIRAM AMC, its registrars and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.
  - c. SHRIRAM Mutual Fund / SHRIRAM AMC reserves the right to reject any application without assigning any reason
  - d. Auto Debit facility is subject to the terms and conditions of the Banks offering the said facility and the Investors will not hold SHRIRAM Mutual Fund / SHRIRAM AMC responsible for any rejection.
18. The Trustee/SHRIRAM AMC reserves the right to change/modify the terms and conditions of the SIP. For the updated terms and conditions of SIP, contact the nearest ISC or visit our website [www.shriramamc.in](http://www.shriramamc.in).

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# CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

## Important Instructions:


- A) Fields marked with \*\* are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.  
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

<b>For office use only</b> (To be filled by financial institution)	Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update
	KYC Number	<input type="text"/>	
	Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers)
<input type="checkbox"/> Small			

☐ **1. PERSONAL DETAILS** (Please refer instruction A at the end)

PAN  (Please enclose a duly attested copy of your PAN Card)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name*(Same as Aadhaar)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

**PHOTO**  
  
 Signature / Thumb Impression

## ☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

## ☐ 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

## 4. PROOF OF ADDRESS (PoA)\*

### ☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)	<input type="text"/>	
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

**Address**

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \* (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*																				
Line 2																				
Line 3	City / Town / Village*																			
District*						Pin / Post Code*						State / U.T Code*			ISO 3166 Country Code*					

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*																				
Line 2																				
Line 3	City / Town / Village*																			
District*						ZIP / Post Code*						ISO 3166 Country Code*								

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile No. / Email-ID) (Please refer instruction F at the end)

Tel. (Off)						Tel. (Res)						Mobile														
Fax						Email ID																				

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1' ) (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\* ☐ Guardian of MinorName\* ☐ Assignee ☐ Authorized Representative

Name\* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [Pol] OF RELATED PERSON\* (Please see instruction (H) at the end)

<input type="checkbox"/> A- Passport Number											Passport Expiry Date					
<input type="checkbox"/> B- Voter ID Card																
<input type="checkbox"/> C- PAN Card																
<input type="checkbox"/> D- Driving Licence											Driving Licence Expiry Date					
<input type="checkbox"/> E- UID (Aadhaar)																
<input type="checkbox"/> F- NREGA Job Card																
<input type="checkbox"/> Z- Others (any document notified by the central government)											Identification Number					
<input type="checkbox"/> S- Simplified Measures Account - Document Type code											Identification Number					

☐ 7. REMARKS (If any)


8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I under t a k e to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : DD - MM - YYYY

Place :

[Signature / Thumb Impression

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date DD - MM - YYYY  
Emp. Name  
Emp. Code  
Emp. Designation

[Employee Signature]

In-Person Verification (IPV) Carried Out by

Date DD - MM - YYYY  
Emp. Name  
Emp. Code  
Emp. Designation

[Employee Signature]

INSTITUTION DETAILS

Name  
Code  
Emp. Branch

[Institution Stamp]

Institution Deatails

Name  
Code  
Emp. Branch

[Institution Stamp]

## CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

### General Instructions:

- 1 Fields marked with '\*' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of "small Account type only personal details at section number 1 and 2, photograph, signature and self-certification required.

### A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name** : Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name** or **spouse's name** is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

### B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 **Tax identification Number (TIN)**: TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security / insurance number, citizen / personal identification / services code/number and resident registration number)

### C Clarification / Guidelines of filling "Proof of Identity [Pol]" section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention Identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central / State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

### D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent/ Overseas Address details' section

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

### E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

### F Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile Number.

### G Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person if available.

### H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [Pol] of Related Person' section

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

**List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988**

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**List of ISO two - digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

**Annexure A1****CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address****Important Instructions:**

- A) Fields marked with “\*” are mandatory fields.  
B) Please fill the form in English and in BLOCK letters.  
C) Please fill the date in DD-MM-YYYY format.  
D) Please read section wise detailed guidelines / instructions at the end.  
E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
F) List of two character ISO 3166 country codes is available at the end.  
G) KYC number of applicant is mandatory for update application.  
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only***(To be filled by financial institution)*

Application Type\*

☐ New☐ Update

KYC Number

*(Mandatory for KYC update request)*☐ **1. CORRESPONDENCE / LOCAL ADDRESS DETAILS** (Please see instruction E at the end)☐ Same as Current / Permanent / Overseas Address details

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
State / U.T Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

☐ **2. CONTACT DETAILS** (All communications will be sent on provided Mobile No. / Email-ID) (Please refer instruction F at the end)

Tel. (Off)	<input type="text"/>	Tel. (Res)	<input type="text"/>	Mobile	<input type="text"/>
Fax	<input type="text"/>	Email ID	<input type="text"/>		<input type="text"/>

**3. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

[Signature / Thumb Impression]

Date : Place : 

Signature / Thumb Impression of Applicant

**Annexure B1****CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person****Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.  
B) Please fill the form in English and in BLOCK letters.  
C) Please fill the date in DD-MM-YYYY format.  
D) Please read section wise detailed guidelines / instructions at the end.  
E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
F) List of two character ISO 3166 country codes is available at the end.  
G) KYC number of applicant is mandatory for update application.  
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only***(To be filled by financial institution)*

Application Type\*

☐ New☐ Update

KYC Number

*(Mandatory for KYC update request)*☐ **1. DETAILS OF RELATED PERSON** (please refer instruction **G** at the end)☐ Addition of Related Person☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor☐ Assignee☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name\*

*(If KYC number and name are provided, below details of section 6 are optional)***PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)**☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card☐ C- PAN Card☐ D- Driving Licence

Driving Licence Expiry Date

☐ E- UID (Aadhaar)☐ F- NREGA Job Card☐ Z- Others (any document notified by the central government)

Identification Number

☐ S- Simplified Measures Account - Document Type code

Identification Number

**2. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

[Signature / Thumb Impression]

Date : Place : 

Signature / Thumb Impression of Applicant

**9. ATTESTATION / FOR OFFICE USE ONLY****Documents Received** ☐ Certified Copies**KYC VERIFICATION CARRIED OUT BY**

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

**INSTITUTION DETAILS**

Name

Code

[Institution Stamp]



**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than individual**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.  
 B) Tick '✓' wherever applicable  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please fill the form in English and in BLOCK letters.  
 E) KYC number of application is mandatory for update application.  
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 G) List of two character ISO 3166 country codes is available at the end.  
 H) Please read section wise detailed guidelines / instructions at the end.  
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



<b>For office use only</b> (To be filled by financial institution)	Application Type* KYC Number	<input type="checkbox"/> New <input type="checkbox"/> Update	<div style="border: 1px solid black; width: 100px; height: 20px;"></div>	(Mandatory for KYC update request)
---	---------------------------------	--	--	------------------------------------

☐ **1. Entity Details\*** (Please refer instruction A at the end)

☐ Name\*

Entity Constitution Type\* ☐ Others (Specify)  (Please refer instruction B at the end)

Date of Incorporation/Formation\*  Date of Commencement of Business

Place of Incorporation/Formation\*  Country of Incorporation/Formation\*  TIN or Equivalent Issuing Country

PAN\*  Form 60 furnished

TIN/GST Registration Number

☐ **2. PROOF OF IDENTITY (Pol)\*** (Please refer instruction B at the end)

(Certified copy of any one of the following Proof of Identity [Pol] needs to be submitted)

- ☐ Officially valid document(s) in respect of person authorised to transact
- ☐ Certificate of Incorporation/Formation ☐ Registration Certificate 

Regn Certificate No.
- ☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed
- ☐ Resolution of Board/Managing Committee ☐ Power of Attorney granted to its manager, officers or employees to transact on its behalf
- ☐ Activity proof – 1 (For Sole Proprietorship Only) ☐ Activity proof – 2 (For Sole Proprietorship Only)

☐ **3. ADDRESS\*** (Please see instruction C at the end)

☐ **3.1 Registered Office Address/Place of Business\***

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

**Proof of Address\*** ☐ Certificate of Incorporation/Formation ☐ Registration Certificate ☐ Other Document

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

☐ **3.2 Local Address in India (If different from above)\***

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

☐ **4. Contact Details** (All communications will be sent to Mobile number/Email-ID provided may be used) (Please refer instruction D at the end)

Tel. (Off)  –  Fax  –

Mobile  –  Email ID

Mobile  –  Email ID

☐ **5. Number of Related Persons** (Please refer instruction E at the end)

**7. APPLICANT DECLARATION** (Please refer instruction G at the end)

[Signature / Thumb Impression

Signature / Thumb Impression of Applicant

**Documents Received** ☐ Certified Copies ☐ Equivalent edocument

INSTITUTION DETAILS													
Name													
Code													
[Institution Stamp]													

A. Clarification / Guidelines on filling 'Entity Details' section

1. Entity Constitution Type

- A - Sole Partnership
- B - Partnership Firm
- C - HUF
- D - Private Limited Company
- E - Public Limited Company
- F - Society
- G - Association of Persons (AOP)/Body of Individuals (BOI)

- H - Trust
- I - Liquidator
- J - Limited Liability Partnership
- K - Artificial Liability Partnership
- L - Public Sector Banks
- M - Central/State Government Department or Agency
- N - Section 8 Companies (Companies Act, 2013)

- O - Artificial Juridical Person
- P - International Organisation or Agency / Foreign
- Q - Not Categorized
- R - Others
- S - Foreign Portfolio Investors

2. In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, Form 60 may be obtained if PAN is not available.

B. Clarification / Guidelines on filling 'Proof of Identity [POI]' section

1. Activity Proof 1 and Activity Proof 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
2. Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
3. Certified copy of document or equivalent e document or OVD obtained through Digital KYC process to be submitted.
4. Equivalent e document means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
5. Digital KYC process has to be carried out as stipulated in the PML Rules,
6. KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C. Clarification/Guidelines for filling Proof of Address [PoA] section

1. State/U.T Code and Pin/Post Code will not be mandatory for overseas addresses.
2. Certified copy of document or equivalent e document to be submitted.

D. Clarification/Guidelines for filling 'Contact Details' section

1. Please mention two digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91 9999999999).
2. Do not add '0' in the beginning of Mobile number.

E. Clarification/Guidelines for filling 'Related Person Details' section

1. Personal Details
  - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Proof of Address [PoA]
  - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
  - State/U.T Code and Pin/Post Code will not be mandatory for Overseas addresses.
  - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
  - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

C. If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related' are required.

D. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F. Provision for capturing signature of multiple authorised persons is to be made by the RE

**List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988**

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chhattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**List of ISO two - digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portuga	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

## Annexure A2 | Legal Entity | Other than Individuals

### CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

#### Important Instructions:

- A) Fields marked with '\*' are mandatory fields.  
 B) Tick '✓' wherever applicable  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please fill the form in English and in BLOCK letters.  
 E) KYC number of application is mandatory for update application.  
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 G) List of two character ISO 3166 country codes is available at the end.  
 H) Please read section wise detailed guidelines / instructions at the end.  
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



#### For office use only

(To be filled by financial institution)

Application Type\*

☐ New

☐ Update

KYC Number

(Mandatory for KYC update request)

#### 1. Details of Related Person\* (Please refer instruction A at the end)

- ☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available\*)  (If KYC number is available, only 'Related Person Type' & 'Name' is mandatory)

**Related Person Type\*** ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor  
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number)  (Mandatory if Related Person Type is Director)

#### 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name*(Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Nationality*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

#### 1.2 Proof of Identity and Address\* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number   
☐ B- Voter ID Card   
☐ C- Driving Licence   
☐ D- NREGA Job Card   
☐ E- National Population Register Letter   
☐ F- Proof of Possession of Aadhaar   
 II ☐ E- KYC Authentication   
 III ☐ Offline verification of Aadhaar

PHOTO



#### Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
State / U.T Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

#### ☐ 1.3 Proof of Identity and Address\* (Please refer instruction E at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number   
☐ B- Voter ID Card   
☐ C- Driving Licence   
☐ D- NREGA Job Card   
☐ E- National Population Register Letter   
☐ F- Proof of Possession of Aadhaar   
 II ☐ E- KYC Authentication   
 III ☐ Offline verification of Aadhaar   
 IV ☐ Deemed PoA  
 V ☐ Self-Declaration

**Address**

Line 1*																																			
Line 2																																			
Line 3																										City / Town / Village*									
District*											Pin / Post Code*										State / U.T Code*					ISO 3166 Country Code*									

**1.4 CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email ID provided) (Please refer instruction D at the end)

Tel. (Off)											–										Tel. (Res)																				–										Mobile																			
Email ID																																																																						

**2. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I / we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : DD – MM – YYYY

Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**3. ATTESTATION / FOR OFFICE USE ONLY**

**Documents Received** ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification  
 Digital KYC Process Equivalent e-document

**KYC VERIFICATION CARRIED OUT BY**

Identity Verification ☐ Done Date DD – MM – YYYY

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

**INSTITUTION DETAILS**

Name

Code

[Institution Stamp]

## Details of FATCA & CRS information For Non-Individuals / legal entity

Name of the entity

Type of address given at KRA ☒ Residential or Business ☒ Residential ☒ Business ☒ Registered Office

PAN  Date of incorporation DD / MM / YYYY

City of incorporation

Country of incorporation

Please tick the applicable tax resident declaration :-

1. Is "Entity" a tax resident of any country other than India - YES ☐ NO ☐

(If yes, please provide country / ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number %	Identification Type (TIN or other, please specify)
<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"/>

% "In case Tax Identification Number is not available, kindly provide its functional equivalent"

In case TIN or its functional equivalent is not available please provide Company identification number or Global Entity identification Number or GIIN, etc.

In case The Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

Please refer to para 3(vii) Exemption code for U.S. persons under part D of FATCA Instructions & definitions

### FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

#### PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a **Global Intermediary Identification Number (GIIN)**
- Financial institution ☒ **Note :** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below
- or
- Direct reporting NFE ☒ Name of sponsoring entity
- (please tick as appropriate)
- GIIN Not available (please tick as applicable) ☒ **Applied for**
- If the entity is a financial institution ☒ Not required to apply for - please specify 2 digits sub-category<sup>10</sup>
- ☒ Not obtained - Non-participating FI

#### PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1. Is the Entity a Publicly traded company (that is, a company whose shares are regularly traded on an established securities market) <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange <input type="text"/>
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <input type="text"/> Nature of relation : Subsidiary of the Listed Company or Controlled by a Listed Company Name of stock exchange <input type="text"/>
3. Is the Entity an active <sup>1</sup> non-financial Entity (NEF) <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/> Nature of Business <input type="text"/> Please specify the sub-category of Active NFE <input type="text"/> (Mention code-refer 2c of part D)
4. Is the Entity a passive <sup>2</sup> NFE <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business <input type="text"/>

<sup>1</sup>Refer 2 of Part D | <sup>2</sup>Refer 3(II) of Part D | <sup>3</sup>Refer 1(1) of Part D | <sup>4</sup>Refer 3(vi) of Part D |

**# If passive NFE, please**

**# If passive NFE, please provide below additional details for each of Controlling person.** (Please attach additional sheets if necessary)

Name and PAN / Any other Identification Number <small>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence, NREGA jobcard, others)</small>	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
<b>1. Name &amp; PAN</b>	<b>Occupation Type</b>	<b>DOB</b> D D / M M / Y Y Y Y
City of Birth	Nationality	Gender    Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth	Father's Name	Others <input type="checkbox"/>
<b>1. Name &amp; PAN</b>	<b>Occupation Type</b>	<b>DOB</b> D D / M M / Y Y Y Y
City of Birth	Nationality	Gender    Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth	Father's Name	Others <input type="checkbox"/>
<b>1. Name &amp; PAN</b>	<b>Occupation Type</b>	<b>DOB</b> D D / M M / Y Y Y Y
City of Birth	Nationality	Gender    Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth	Father's Name	Others <input type="checkbox"/>

# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India :

\* To include US, where controlling person is a US citizen or green card holder

% In case Tax Identification Number is not available, kindly provide functional equivalent

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962. In 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. 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.

\* 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 alongwith the US Tax Identification Number.

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

## Part C : Certification

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm 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 below and hereby accept the same.

Date :    /    /    /

[illegible]



**PART D FATCA 'Instructions & Definitions' :**

(Note : The Guidance Note/notification issued by the CBDT shall prevail in respect to interpretation of the terms specified in the form)

**1(i) Financial Institution (FI)** - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

**1(ii) Depository Institution:** Is an entity that accepts deposits in the ordinary course of banking or similar business.

**1(iii)** Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable 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.

**1(iv)** Investment entity is any entity:

(a) 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 individual and collective portfolio management; or

(ii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or

(b) 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 any 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 :

(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 04, 05, 06 and 07 - refer point 2c.)

**1(v)** 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.

**1(vi)** FI not required to apply for GIIN: Refer Rule 114F(5) of Income Tax Rules, 1962 for the conditions to be satisfied as "non-reporting financial Institution and Guidance issued by CBDT in this regard.

**A. 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, International 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	Trust
09	Non-registering local banks
10	FFI with only Low-Value Accounts
11	Sponsored investment entity and controlled foreign corporation
12	Sponsored, Closely Held Investment Vehicle

<b>2. Active Non-financial entity (NFE) : (anyone of the following): Refer Explanation (A) to 114F(6) of Income Tax Rules, 1962 for details.</b>	
<b>Code</b>	<b>Sub-category</b>
<b>01</b>	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;
<b>02</b>	The stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity, the stock of which is regularly traded on an established securities market.
<b>03</b>	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
<b>04</b>	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 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;
<b>05</b>	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 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;
<b>06</b>	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;
<b>07</b>	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 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
<b>08</b>	<p>Any NFE that fulfills all of the following requirements :</p> <p>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.</p> <p>It is exempt from income tax in India :</p> <p>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets</p> <p>The applicable laws of the NFE's country of territory of residence or the NFE's formation documents do not permit any income or assets of the NFE 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 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</p> <p>The applicable laws of the NFE's country or territory of residence or the NFE', 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.</p> <p>Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <p>(i) an Investor Protection Fund referred to in clause (23EA);</p> <p>(ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</p> <p>(iii) an Investor Protection Fund referred to in clause of section 10 23EC, of the Act.</p>

<b>3. Other definitions</b>
<p>(i) <b>Related entity</b></p> <p>An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.</p>
<p>(ii) <b>Passive NFE</b></p> <p>The term passive NFE means</p> <p>(i) any non-financial entity which is not an active non-financial entity; or</p> <p>(ii) an investment entity defined in clause 1 (iv)(b) of these instructions</p> <p>(iii) a withholding foreign partnership or withholding foreign trust:</p>
<p>(iii) <b>Passive income</b></p> <p>The term passive income includes income by way of:</p> <p>(1) Dividends,</p> <p>(2) Interest</p> <p>(3) Income equivalent to interest,</p> <p>(4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE</p> <p>(5) Annuities</p> <p>(6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income</p> <p>(7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,</p> <p>(8) The excess of foreign currency gains over foreign currency losses</p> <p>(9) Net income from swaps</p> <p>(10) Amounts received under cash value insurance contracts</p> <p>But passive income 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 dealer.</p>

(iv) *Controlling persons*

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005.

In determining the beneficial owner, the procedure specified in the following circular as amended from time to time shall be applied, namely:-

- (i) DBOD.AML.BC. No.71/14.01.001/2012-13, issued on the 18th January, 2013 by the Reserve Bank of India; or
- (ii) CIR/MIRSD/2/2013, issued on the 24th January, 2013 by the Securities and Exchange Board of India; or
- (iii) IRDA/SDD/GDL/CIR/019/02/2013, Issued on the 4th February, 2013 by the Insurance Regulatory and Development Authority.

In the case of a trust, the controlling 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, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar position;

(A) *Controlling Persons Type :*

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-other equivalent
14	Unknown

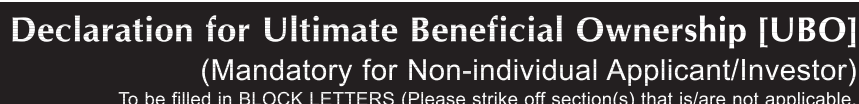
(v) *Specified U.S. person - A U.S. person other than the following:*

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation 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);
- (iii) the United States or any wholly owned agency or instrumentality thereof;
- (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of anyone or more of the foregoing;
- (v) any organization 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;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated 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 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including national principal contracts, futures, forwards, and I options) that is registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) *Direct reporting NFE*

A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

<b>(vii) Exemption code for U.S. persons (Refer 114F(9) of Income Tax Rules, 1962 for details.</b>	
<b>Code</b>	<b>Sub-category</b>
A	An organization exempt from tax under section 501 (a) or any Individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or Instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or Instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1 (c)(1)(i)
F	A dealer in securities, commodities, or derivative financial Instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan





# Instructions

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficial owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

## 1. Ultimate Beneficial Owner (UBO)

### A. For Investors other than individuals or trusts :

- i) The identity of the 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/entitlement to :
  - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - 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.
- ii) In cases where there exists doubt under clause (i) 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, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

### B. For Investors which is a trust

The identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% 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.

### C. Exemption in case of listed companies

If the client 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, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.

### D. Foreign investors

In accordance SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, list of Beneficial Owners with shareholding or beneficial interest in FPIs (including FIIs and Sub-Accounts, FVCIs where applicable but excluding individual where he is the first applicant/holder) equal to or above 25% has to be provided. If Global Custodian / Local Custodian provides an undertaking to submit these details, then such undertaking may be obtained. AMC / Mutual Fund reserves right to obtain any further information / documents from the client based on its assessment of their risk profile.

## 2. Position / Designation :

Refers to the Position / Designation of the Beneficial Owner during the time of ownership.

## 3. UBO Codes :

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 exists doubt under UBO-1 to UBO-3 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.

## 4. Applicable period

Refers to the period of Beneficial Ownership to be indicated, if applicable.

## 5. KYC requirements

Beneficial Owner(s) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s). AMC / Mutual Fund reserves right to obtain any further information / documents from the client based on its assessment of their risk profile. If not KYC compliant, then complete the KYC formalities and send the information to CAMS/MF/AMC.

## 6. Foreign Country Information

If you are a Person with Tax Residency in a Country other than India, please provide you Country of birth, Nationality, Country of Tax residency and Foreign Tax Reference Number. If you have any questions about you tax residency, please contact your tax advisor.

**For any queries / clarifications, Please contact the nearest Investor Service Centres (ISCs) of the AMC number (033-23373012) or E-mail us : [info@shriramamc.in](mailto:info@shriramamc.in)**

**SHRIRAM ASSET MANAGEMENT COMPANY LIMITED (SHRIRAM AMC LTD.)**  
**- INVESTOR SERVICE CENTRES / OFFICIAL POINTS OF ACCEPTANCE FOR SHRIRAM MUTUAL FUND**  
**(For Ongoing Transactions)**

**\*\*Official points of acceptance of transactions for schemes of SHRIRAM Mutual Fund**

SHRIRAM Mutual Fund Administrative Head Office: 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059.

**Address of CAMS Centres:**

**Andhra Pradesh:**

40-1-68, Rao & Ratnam Complex, Near Chennupati Petrol Pump, M.G Road, Labbipet, Vijayawada, Andhra Pradesh -520010; CAMS Service Center, Flat No GF2, D NO 47-3-2/2, Vigneshwara Plaza, 5th Lane, Dwarakanagar, Visakhapatnam - 530 016, ANDHRA PRADESH; CAMS SERVICE CENTER, Door No.31-13-1158, 1st floor, 13/1, Arundelpet, Ward No.6, Guntur-522002; 97/56, I Floor, Immadisetty Towers Ranganayakulapet Road, Santhapet, Nellore, Andhra Pradesh -524001; Door No: 6-2-12, 1st Floor, Rajeswari Nilayam, Near Vamsikrishna Hospital, Nyapathi Vari Street, T Nagar, Rajahmundry, Andhra Pradesh, 533101; Shop No : 6, Door No: 19-10-8, (Opp to Passport Office), AIR Bypass Road, Tirupati-517501, Andhra Pradesh; Bandi Subbaramaiah Complex, D.No:3/1718, Shop No: 8, Raja Reddy Street, Kadapa, Andhra Pradesh, 516001; 15-570-33, I Floor Pallavi Towers, Subash Road Opp: Canara Bank, Anantapur, Andhra Pradesh, 515001; CAMS SERVICE CENTRE, Shop No.26 and 27, Door No.39/265A and 39/265B, Second Floor, Skanda Shopping Mall, Old Chad Talkies, Vaddageri, 39th Ward, Kurnool-518001; CAMS SERVICE CENTRE, D No.25-4-29, 1st floor, Kommireddy vari street, Beside Warf Road, Opp Swathi Medicals, Kakinada-533001; Door No 4-4-96, First Floor, Vijaya Ganapathi Temple Back Side, Nanubala Street, Srikakulam, Andhra Pradesh 532001

**Assam:**

CAMS SERVICE CENTRE, Piyali Phukan Road, K.C.Path, House No.1, Rehabari, Guwahati-781008; CAMS Transaction Point, Bhowal Complex Ground Floor, Near Dena Bank, Rongagora Road PO / Dist - Tinsukia Assam PIN -786 125

**Bihar:**

G-3, Ground Floor, OM Complex Near Saket Tower, SP Verma Road, Patna, Bihar, 800001; Brahman Toli, Durgasthan Gola Road, Muzaffarpur, Bihar-842001; CAMS SERVICE CENTRE, Ground Floor, Gurudwara Road, Near Old Vijaya Bank, Bhagalpur - 812001; Ground Floor, Belbhadrapur, Near Sahara Office, Laheriasarai Tower Chowk, Laheriasarai, Darbhanga- 846001.

**Chattisgarh:**

CAMS SERVICE CENTRE, 1st Floor, Plot No.3, Block No.1, Priyadarshini Pariswar west, Behind IDBI Bank, Nehru Nagar, Bhilai-490020; HIG, C-23 Sector - 1 Devendra Nagar, Raipur, Chattisgarh-492004; CAMS SERVICE CENTRE, Shop No.B-104, First Floor, Narayan Plaza, Link Road, Bilaspur (C.G.)-495001

**Goa:**

CAMS SERVICE CENTER, Office No.103, 1st Floor, Unitech City Centre, M.G.Road, Panaji Goa, Goa-403001; CAMS SERVICE CENTRE, F4-Classic Heritage, Near Axis Bank, Opp. BPS Club, Pajifond, Margao, Goa-403601; CAMS COLLECTION CENTRE, Office No.503, Buildmore Business Park, New Canca By pass Road, Ximer, Mapusa Goa-403507; No DU 8, Upper Ground Floor, Behind Techoclean Clinic, Suvidha Complex Near ICICI Bank, Vasco, Goa-403802

**Gujarat:**

111- 113, 1st Floor- Devpath Building Off. C G Road Behind Lal Bungalow, Ellis Bridge, Ahmedabad Gujarat 380006; CAMS SERVICE CENTRE, Shop No.G-5, International Commerce Center, Nr.Kadiwala School, Majura Gate, Ring Road, Surat-395002; 103 Aries Complex, Bpc Road, Off R.C.Dutt Road, Alkapuri, Vadodara, Gujarat, 390007; 101, A.P. Tower, B/H, Sardhar Gunj, Next to Nathwani Chambers, Anand Gujarat 388001; 305-306, Sterling Point, Waghawadi Road Opp. HDFC BANK, Bhavnagar Gujarat 364002; 207, Manek Centre, P N Marg, Jamnagar, Gujarat, 361001; Office 207 - 210, Everest Building Harihar Chowk Opp Shastri Maidan, Limda Chowk, Rajkot, Gujarat, 360001; 3rd floor, Gita Nivas, Opp Head Post Office, Halar Cross Lane Valsad, Gujarat, 396001; CAMS Service Centre, 214-215, 2nd floor, Shivani Park, Opp. Shankheshwar Complex, Kaliawadi, Navsari -396445, Gujarat; CAMS SERVICE CENTRE, Office No.4-5, First Floor, RTO Relocation Commercial Complex-B, Opp. Fire Station, Near RTO Circle, Bhuj-Kutch-370001; "Aastha Plus", 202-A, 2nd Floor Sardarbag Road, Nr. Alkapuri Opp. Zansi Rani Statue, Junagadh Gujarat-362001; Shop No - F -56 First Floor, Omkar Complex Opp Old Colony, Nr Valia Char Rasta, GIDC, Ankleshwar, Gujarat, 393002; 1st Floor, Subhadra Complex Urban Bank Road Mehsana, Gujarat, 384002; 208, 2nd Floor HEENA ARCADE, Opp. Tirupati Tower Near G.I.D.C. Char Rasta, Vapi, Gujarat, 396195; CAMS SERVICE CENTRE, A-111, First Floor, R K Casta, Behind Patel Super Market, Station Road, Bharuch-392001; F 142, First Floor, Ghantakarna Complex Gunj Bazar, Nadiad, Gujarat, 387001; A/177, Kailash Complex Opp. Khedut Decor Gondal, Gujarat, 360311; CAMS SERVICE CENTER, Shyam Sadan, First Floor, Plot No.120, Sector 1/A, Gandhidham-370201; D-78, First Floor, New Durga Bazar, Near Railway Crossing, Himmatnagar, Gujarat 383001; CAMS SERVICE CENTER, Gopal Trade Center, Shop No.13-14, 3rd Floor, Nr.BK Mercantile bank, Opp.Old Gunj, Palanpur-385001; Shop No. 12, M.D. Residency, Swastik Cross Road, Surendranagar - 363001

**Haryana:**

B-49, 1st Floor, Nehru Ground, Behind Anupam Sweet House NIT, Faridabad, Haryana, 121001; SCO - 16, Sector - 14, First floor, Gurgaon, Haryana, 122001; SCO 83-84, First Floor, Devi Lal Shopping Complex, Opp RBL Bank, G.T.Road, Panipat, Haryana, 132103; CAMS SERVICE CENTRE, SCO 06, Ground Floor, MR Complex, Near Sonipat Stand Delhi Road, Rohtak-124001; 124-B/R, Model Town Yamunanagar, Yamuna Nagar, Haryana, 135001; CAMS SERVICE CENTRE, No-12, Opp. HDFC Bank, Red Square Market, Hisar, Haryana, 125001; CAMS SERVICE CENTRE, SCO 48-49, Ground Floor, opp peer, Bal Bhawan Road, Near HDFC Bank, Ambala City, Haryana - 134 003; No.29, Avtar Colony, Behind Vishal Mega Mart, Karnal-132001; Ground Floor of CA Deepak Gupta, M G Complex, Bhawna marg, Beside Over Bridge, bansal Cinerma Market, Sirsa Haryana, 125055

**Himachal Pradesh:**

I Floor, Opp. Panchayat Bhawan Main Gate Bus Stand, Shimla, Himachal Pradesh, 171001; 1st Floor, Above Sharma General Store, Near Sanki Rest house, The Mall, Solan, Himachal Pradesh 173212

**Jammu & Kashmir:**

JRDS Heights Sector 14 Nanak Nagar Near Peaks Auto Showroom Jammu Jammu & Kashmir, 180004

**Jharkhand:**

Mazzanine Floor F-4, City Centre, Sector 4, Bokaro Steel City, Bokaro, Jharkhand, 827004; Urmila Towers, Room No: 111 (1st Floor) Bank More, Dhanbad, Jharkhand, 826001; Millennium Tower, "R" Road, Room No: 15 First Floor, Bistupur, Jamshedpur, Jharkhand, 831001; 4, HB Road No: 206, 2nd Floor Shri Lok Complex H B Road Near Firayalal, Ranchi, Jharkhand, 834001; S S M Jalan Road Ground Floor Opp. Hotel Ashoke, Caster Town, Deoghar, Jharkhand, 814112; Municipal Market Annanda Chowk, Hazaribag, Jharkhand, 825301

**Karnataka:**

Trade Centre, 1st Floor 45, Dikensen Road ( Next to Manipal Centre ), Bangalore, Karnataka, 560042; No. G 4 & G 5, Inland Monarch Opp. Karnataka Bank Kadri Main Road, Kadri, Mangalore, Karnataka, 575003; CAMS SERVICE CENTRE, Classic Complex, Block No.104, 1st Floor, Saraf Colony, Khanapur Road, Tilakwadi, Belgaum-590006; 13, 1st Floor, Akkamahadevi Samaj Complex Church Road, P.J.Extension, Davangere, Karnataka, 577002; No.204 - 205, 1st Floor 'EB' Block, Kundagol Complex Opp. Court, Club Road, Hubli, Karnataka, 580029; No.1, 1st Floor, CH.26 7th Main, 5th Cross (Above Trishakthi Medicals), Saraswati Puram, Mysore, Karnataka, 570009; CAMS SERVICE CENTER, No.18/47/A, Govind Nilaya, Ward No.20, Sangankal Moka Road, Gandhinagar, Ballari-583102; No.65 1st Floor Kishnappa Compound 1st Cross, É Hosmane Extn, Shimoga, Karnataka, 577201; CAMS SERVICE CENTER, First Floor, No.1711, -(272) 12Th Cross Road, Wilson Garden, Bangalore-560027; Pal Complex, 1st Floor, Opp. City Bus Stop, SuperMarket, Gulbarga, Karnataka 585101; CAMS SERVICE CENTER, Shop No-A2, Basement floor, Academy Tower, Opposite Corporation Bank, Manipal, Karnataka 576104

**Kerala:**

CAMS SERVICE CENTER, Building Name Modayil, Door No. 39/2638 DJ, 2nd Floor 2A M.G. Road, Cochin - 682 016; 29/97G 2nd Floor, S A Arcade, Mavoor Road, Arayidathupalam, Calicut Kerala-673016; CAMS SERVICE CENTER, 1307 B, Puthenparambil Building, KSACS Road, Opp. ESIC Office, Behind Malayala Manorama Muttambalam P O, Kottayam-686501; Room É No. 26 & 27 Dee Pee Plaza, Kokkalai, Trichur, Kerala, 680001; R S Complex, Opp of LIC Building, Pattom PO, Trivandrum, Kerala, 695004; CAMS SERVICE CENTRE, Uthram Channambers (Ground Floor), Thamarakulam, Kollam-691006; Room No.PP.14/435 Casa Marina Shopping Centre Talap, Kannur, Kerala, 670004; 10 / 688, Sreedeevi Residency, Mettupalayam Street, Palakkad, Kerala, 678001; CAMS SERVICE CENTER, 1st Floor, Room No-61(63), International shopping Mall, Opp. ST Thomas Evangelical Church, Above Thomsan Bakery, Manjady, Thiruvalla-689105; Doctor's Tower Building, Door No. 14/2562, 1st floor, North of Iorn Bridge, Near Hotel Arcadia Regency, Alleppey Kerala, 688001

**Madhya Pradesh:**

101, Shalimar Corporate Centre, 8-B, South Tukogunj, Opp. Greenpark, Indore, Madhya Pradesh, 452001; Plot no 10, 2nd Floor, Alankar Complex, Near ICICI Bank, MP Nagar, Zone II, Bhopal, Madhya Pradesh 462011; G-6 Global Apartment, Kailash Vihar Colony, Opp. Income Tax Office, City Centre Gwalior Madhya Pradesh-474002; 8, Ground Floor, Datt Towers, Behind Commercial Automobiles, Napier Town, Jabalpur, Madhya Pradesh, 482001; CAMS SERVICE CENTER, 2nd Floor, Parasia Road, Near Surya Lodge, Sood Complex, Above Nagpur CT Scan, Chhindwara, Madhya Pradesh 480001; 1st Floor, Gurunanak dharmakanta, Jabalpur Road, Bargawan, Katni, Madhya Pradesh 483501; Daffria & Co, No.18, Ram Bagh, Near Scholar's School, Ratlam, Madhya Pradesh 457001; Opp. Somani Automobile, S Bhagwananj Sagar, Madhya Pradesh 470002; Adjacent to our existing Office at 109, 1st Floor, Siddhi Vinayak Trade Center, Shahid Park, Ujjain - 456010

**Maharashtra:**

Rajabahdur Compound,Ground FloorOpp Allahabad Bank, Behind ICICI Bank30, Mumbai Samachar Marg, FortMumbai,Maharashtra,400023; 145 ,Lendra,New Ramdaspath,Nagpur,Maharashtra,440010; CAMS SERVICE CENTER,Vartak Pride,1st Floor,Survey No.46,City Survey No.1477,Hingne budruk,D.P.Road,Behind Dinanath mangeshkar Hospital,Karvenagar,Pune-411052; 81, Gulsham Tower,2nd Floor,Near Panchsheel Talkies,Amaravati,Maharashtra,444601; CAMS SERVICE CENTRE,2nd Floor,Block No.D-21-D-22,Motiwala Trade Centre,Nirala Bazar,New Samarth Nagar,Opp.HDFC Bank,Aurangabad-431001; Rustomji Infotech Services70, NavipethOpp. Old Bus StandJalgaon,Maharashtra,425001; 2 B, 3rd Floor,Ayodhya Towers,Station Road,Kolhapur,Maharashtra,416001; CASM SERVICE CENTRE,1st Floor,"Shraddha Niketan",Tilak Wadi,Opp Hotel City Pride,Sharanpur Road,Nasik-422002; Flat No 109, 1st FloorA Wing, Ekalyani Tower126 Siddheshwar Peth,Near Pangal High SchoolSolapur,Maharashtra,413001; 117 / A / 3 / 22,Ē Shukrawar Peth,Sargam Apartment,Satara,Maharashtra,415002; Opp. RLT Science CollegeCivil Lines,Akola,Maharashtra,444001; CAMS SERVICE CENTER,Dev Corpora,1st Floor,Office No.102,Cadbury Junction,Eastern Express Way,Thane-400601; CAMS Pvt Ltd,No.351,Icon,501,5th Floor,Western Express Highway,Andheri East,Mumbai-400069; Jiveshwar Krupa BldgShop. NO.2, Ground Floor,Tilak ChowkHarbhat Road,Sangli,Maharashtra-416416; Shop No 6, Ground Floor,Anand Plaza Complex,Bharat Nagar,Shivaji Putla Road,Jalna,Maharashtra,431203; CAMS SERVICE CENTRE,Platinum Mall,Office No.307,3rd Floor,Jawahar Road,Ghatkopar East,Mumbai-400077; 501 – TIARA, CTS 617, 617/1-4,Ē Off Chandavarkar Lane, Maharashtra Nagar, Borivali – West, Mumbai – 400092; CAMS SERVICE CENTRE,BSEL Tech Park,B-505,Plot No.39/5 & 39/5A,Sector 30A,Opp.Vashi Railway StationmVashi,Nav Mumbai-400705; 3, Adelaide Apartment,Christain Mohala, Behind Gulshan-E-Iran Hotel,Amardeep Talkies Road,Bhusawal,Maharashtra,425011; CAMS SERVICE CENTER,Office No.3.1st Floor,Shree Parvati,Plot No.1/175,Opp. Mauli Sabhagruh,Zopadi Canteen,Savedi,Ahmednagar-414003; HouseĒNo 3140, Opp Liberty Furniture,Jamnallal Bajaj Road, Near Tower Garden,Dhule,Maharashtra 424001; CAMS SERVICE CENTRE,Orchid Tower,G Floor,Gala No.06,S.V.No.301/Paiki 1/2,Nachane Municiple Aat,Arogya Mandir,Nachane Link Road,At,Post,Tal.Ratnagiri Dist.Ratnagiri-415612; Pushpam, Tilakwadi,Opp. Dr. Shrotri Hospital,Yavatmal,Maharashtra 445001

#### New Delhi:

7-E, 4th FloorDeen Dayaal Research Institute Building Swami Ram Tirath Nagar,Near Videocon Tower Jhandewalan Extension,New Delhi,NewDelhi,110055; CAMS SERVICE CENTRE,Aggarwal Cyber Plaza-II,Commercial Unit No-371,3rd Floor,Plot No C-7,Netaji Subhash Palace,Pitampura-110034; CAMS SERVICE CENTER,No.306,3Rd Floor,DDA-2 Building,District Center,Janakpuri,New Delhi-110058; Flat no.512, Narian Manzil, 23 Barakhamba Road Connaught Place,NewDelhi,110001

#### Orissa:

Plot No -111,Varaha Complex Building3rd Floor,Station Square,Kharvel Nagar,Unit 3-Bhubaneswar-Orissa-751001; CAMS SERVICE CENTER,Kalika temple Street,Ground Floor,Beside SBI BAZAR Branch,Berampur-760002; Near Indian Overseas BankCantonment Road,Mata Math,Cuttack,Orissa,753001; CAMS SERVICE CENTRE,2nd Floor,J B S Market Complex,Udit Nagar,Rourkela-769012; C/o Raj Tibrewal & Associates, Opp. Town High School,Sansarak Sambalpur,Orissa,768001; B C Sen Road,Balasore,Orissa,756001

#### Pondicherry:

S-8, 100,Jawaharlal Nehru Street(New Complex, Opp. Indian Coffee House),Pondicherry,Pondicherry,605001

#### Punjab:

Deepak Tower, SCO 154-155,1st Floor-Sector 17-Chandigarh-Punjab-160017; U/ GF, Prince Market, Green Field,NearĒTraffic Lights,Sarabha Nagar Pulli,Pakhowal Road,Ludhiana,Punjab,141002; CAMS SERVICE CENTER,3rd Floor,Bearing Unit No-313,Mukut House,Amritsar-143001; CAMS SERVICE CENTER, 144,Vijay Nagar,Near Capital Small Finance Bank,Football Chowk,Jalandar City-144001; CAMS SERVICE CENTRE,No.35 New Lal Bagh,Opp.Polo Ground,Patiala-147001; 2907 GH,GT Road,Near Zila Parishad,Bhatinda,Punjab,151001; Near Archies Gallery,Shimla Pahari Chowk,Hoshiarpur ,Punjab 146001; CAMS SERVICE CENTRE,No.9, New Town,Opp.Jaswal Hotel,Daman Building,Moga-142001

#### Rajasthan:

R-7, Yudhisthir Marg C-SchemeBehind Ashok Nagar Police Station,Jaipur,Rajasthan,302001; AMC No. 423/30 Near ChurchOpp T B Hospital,Jaipur Road,Ajmer,Rajasthan,305001; 256A, Scheme No:1,Arya Nagar,Alwar,Rajasthan,301001; C/o Kodwani Associates Shope No 211-213 2nd floor Indra Prasth Tower syam Ki Sabji Mandi Near Mukerjee Garden Bhilwara-311001 (Rajasthan); 1/5, Nirmal Tower,1st Chopasani Road,Jodhpur,Rajasthan,342003; B-33 'Kalyan Bhawan, Near Triangle Park,Vallabh Nagar,Kota,Rajasthan,324007; CAMS SERVICE CENTER,No.32,Ahinsapuri,Fatehpura Circle,Udaipur-313001; 18 L BlockSri Ganganagar,Rajasthan,335001; Behind rajasthan patrika In front of vijaya bank 1404,amar singh pura Bikaner.334001; 3, Ashok Nagar, Near Heera Vatika,Chittorgarh, Rajasthan 312001

#### Tamil Nadu:

Ground Floor No.178/10,Kodambakkam High Road, Opp. Hotel Palmgrove,Nungambakkam-Chennai-Tamilnadu-600034; CAMS SERVICE CENTRE,No.1334,Thadagam Road,Thirumurthy Layout,R.S.Puram,Behind Venketeswara Bakery,Coimbatore-641002; Shop No 3 2nd Floor Surya Towers.No 272/273 Goodshed Street, Madurai - 625001; 197, Seshaiyer Complex,Agraharam Street,Erode,Tamilnadu,638001; No.2, I Floor Vivekananda Street,New Fairlands,Salem,Tamilnadu,636016; 1(1), Binny Compound,II Street,Kumaran Road,Tirupur,Tamilnadu,641601; CAMS SERVICE CENTRE,No.F4,Magnum Suraksaa Apatments,Tiruvananthapuram Road,Tirunelveli-627002; No 8, I Floor, 8th Cross West Extn,Thillainagar,Trichy,Tamilnadu,620018; CAMS SERVICE CENTRE,AKT Complex,2nd Floor,No.1,3,New Sankaranpalayam Road Tolgate,Vellore-632001; No.28/8 1st Floor, Balakrishna Colony, Pachaiaappa Street, Near VPV Lodge, Kumbakonam – 612001; 126 G.V.P.Towers, Kovai Road,Basement of Axis BankKarur,Tamilnadu,639002; CAMS SERVICE CENTER,3rd Floor, B R Complex,No.66,Door No.11A,Ramakrishna Iyer Street,Opp.National Cinema Theatre,West Tambaram,Chennai-600045; No.158,Rayala Tower-1,Anna salai,Chennai-600002; 16A/63A, Pidamaneri Road, Near Indoor Stadium,Dharmapuri,Tamilnadu 636701; CAMS SERVICE CENTER,Survey No.25/204,Attibele Road,HCF Post,Mathigiri,Above Time Kids School,Oppsite To Kuttys Frozen Foods,Hosur-635110; 156A / 1, First Floor, Lakshmi Vilas BuildingOpp. To District Registrar Office, Trichy Road,Namakkal,Tamilnadu 627001; No 59 A/1, Railway Feeder Road(Near Railway Station)RajapalayamTamilnadu-626117; 4B/A16, Mangal Mall Complex,Ground Floor,Mani Nagar,TuticorinTamilnadu-628003

#### Telangana:

208, II Floor,Jade ArcadeParadise Circle,Hyderabad,Telangana,500003; Hno. 2-4-641, F-7, 1st Floor, A.B.K Mall, Old Bus Depot Road, Ramnagar, Hanamkonda, Warangal.Telangana-506001; HNo.7-1-257, Upstairs S B H mangammathota,Karimnagar,Telangana,505001; Shop No: 11 - 2 - 31/3, 1st floor,Philips Complex,Balajinagar, Wyra Road,Near Baburao Petrol Bunk,Khammam,Telangana 507001; CAMS SERVICE CENTRE,No.15-31-2M-1/4,1st floor,14-A,MIG,KPHB colony,Kukatpally,Hyderabad-500072

#### Tirupura:

Advisor Chowmuhan (Ground Floor), Krishnanagar, Agartala, Tripura, 799001.

#### Uttarkhand:

204/121 Nari Shilp Mandir Marg(1st Floor) Old Connaught Place,Chakrata Road,Dehradun,Uttarakhand,248001; 22, Civil Lines, Ground Floor,Hotel Krish Residency,Roorkee,Uttarakhand 247667

#### Uttar Pradesh:

I Floor 106 to 108City Centre Phase II,63/ 2, The Mall Kanpur Uttarpradesh-208001; CAMS SERVICE CENTER,Office No.107,1St Floor,Vaisali Arcade Building,Plot No 11, 6 Park Road,Lucknow-226001; No. 8, II Floor Maruti Tower Sanjay Place ,Agra ,Uttarpradesh-282002; 30/2, A&B, Civil Lines Station Besides ,Vishal Mega Mart Strachey Road, Allahabad ,Uttarpradesh-211001; CAMS SERVICE CENTER,1st Floor,C-10 RDC Rajnagar,Opp Kacheri Gate No.2,Ghaziabad-201002; CAMS SERVICE CENTRE,Shop No.5 & 6,3Rd Floor,Cross Road The mall,A D Tiraha,bank Road,Gorakhpur-273001; 108 1st Floor Shivam Plaza,Opp: Eves Cinema, Hapur Road,Meerut,Uttarpradesh,250002; H 21-22, 1st Floor, Ram Ganga Vihar Shopping Complex, Opposite Sale Tax Office, Moradabad-244001; Office no 1, Second floor, Bhawani Market, Building No. D-58/2-A1, Rathyatra Beside Kuber Complex, Varanasi, Uttarpradesh-221010; No.372/18D,1st Floor Above IDBI Bank,Beside V-Mart,Near RAKSHAN,Gwalior Road,Jhansi-284001; City Enclave, Opp. Kumar Nursing Home Ramghat Road Aligarh Uttarpradesh-202001; CAMS SERVICE CENTER,F-62-63,2nd Floor,Butler Plaza Commercial Complex Civil Lines Bareilly Uttarpradesh-243001; I Floor, Krishna ComplexOpp. Hathi GateCourt Road,Saharanpur,Uttarpradesh,247001; CAMS SERVICE CENTER,E-3,Ground Floor,Sector 3,Near Fresh Food factory,Noida-201301; CAMS C/O RAJESH MAHADEV & CO SHOP No 3,1st Floor JAMIA COMLEX STATION ROAD BASTI PIN - 272002; CAMS SERVICE CENTRE,1/13/196,A,Civil Lines,Behind Tripati Hotel,Faizabad,Uttarpradesh-224001; Durga City Centre, Nainital Road, Haldwani, Uttarakhand-263139; 248, Fort Road Near Amber Hotel, Jaunpur Uttarpradesh-222001; 159/160 Vikas Bazar Mathura Uttarpradesh-281001; 17, Anand Nagar Complex Opposite Moti Lal Nehru Stadium SAI Hostel Jail Road Rae Bareilly Uttar pradesh -229001; Bijlipura, Near Old Distt Hospital, Jail Road ,Shahjahanpur Uttarpradesh-242001; Arya Nagar Near Arya Kanya School Sitapur Uttarpradesh-261001; 967, Civil Lines Near Pant Stadium Sultanpur Uttarpradesh-228001

#### West Bengal:

CAMS SERVICE CENTRE,Plot No.3601,Nazrul Sarani,City Centre,Durgapur-713216; CAMS SERVICE CENTER,2/1,Russell Street,2nd Floor,Kankaria Centre,Kolkata-700071; Block – G 1st Floor,P C Chatterjee Market Complex Rambandhu Talab PO, Ushagram Asansol Westbengal Pin No 713303; CAMS SERVICE CENTER,No.399, G T Road,1st floor,Above exide show room, ,BurdwanWestbengal713101; CAMS SERVICE CENTER,No.78,Haren Mukherjee Road,1st Floor,Beside SBI Hakimpara,Siliguri-734001; A – 1/50, Block A Kalyani - Nadia Dt, PIN- 741235; CAMS SERVICE CENTRE,"Silver Palace" OT Road,Inda-Kharagpur,G-P-Barakola,P.S.Kharagpur Local,Dist West Midnapore-721305; Cams Collection Centre, 3/1,R.N. Mukherjee Road, 3rd Floor, Office space -3C, "Shreeram Chambers", Kolkata -700 001; MOUZA-BASUDEVPUR, J.L. NO. 126, Haldia Municipality, Ward No 10, Durgachak, Haldia - 721602; Daxhinapan Abasan,Opp Lane of Hotel Kalinga,SM Pally,Malda,Westbengal 732101

**AMFI CERTIFIED STOCK EXCHANGE BROKERS/ CLEARING MEMBERS /DEPOSITORY PARTICIPANTS# AS  
OFFICIAL POINTS OF ACCEPTANCE FOR TRANSACTIONS (PURCHASE/ REDEMPTION) OF UNITS OF  
SHRIRAM MUTUAL FUND SCHEMES THROUGH THE STOCK EXCHANGE(S) INFRASTRUCTURE**

# For Processing only Redemption Request of Units Held in Demat Form.

The eligible AMFI certified stock exchange Brokers/ Clearing Members/ Depository Participants who have complied with the conditions stipulated in Para 16.2.4.8 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 for stock brokers viz. AMFI/ NISM certification, code of conduct prescribed by SEBI for Intermediaries of Mutual Fund will be considered as Official Points of Acceptance (OPA) of the Mutual Fund.







## **SHRIRAM ASSET MANAGEMENT COMPANY LIMITED**

Registered Office :

217, 2nd Floor, Swastik Chambers, Near Junction of S.T. & C.S.T. Road,  
Chembur, Mumbai - 400 071, India

e-mail for Investors : [info@shriramamc.in](mailto:info@shriramamc.in) | e-mail for Distributors : [dist@shriramamc.in](mailto:dist@shriramamc.in)

website : [www.shriramamc.in](http://www.shriramamc.in)



## SHRIRAM MUTUAL FUND

Shriram House, No. 4 Burkit Road, T. Nagar, Chennai - 600 017

**Shriram Asset Management Company Limited (Investment Manager)**

Registered Office: 217, 2nd Floor, Swastik Chambers, Near Junction of S.T. & C.S.T. Road,  
Chembur, Mumbai - 400 071. CIN: L65991MH1994PLC079874; Website: [www.shriramamc.in](http://www.shriramamc.in)

### **NOTICE- CUM-ADDENDUM TO THE SCHEME INFORMATION DOCUMENT (SID) AND KEY INFORMATION MEMORANDUM (KIM) OF SCHEME OF SHRIRAM MUTUAL FUND (FUND)**

#### **Change in Name of Scheme**

**NOTICE** is hereby given that pursuant to SEBI Letter No. SEBI/HO/IMD/IMD-RAC-2/P/OW/2023/40331/1 dated September 26, 2023, read along with AMFI email no. 35P/MEM-COR/64/2023-24 dated September 27, 2023, regarding modification of nomenclature of schemes under Equity Linked Savings Scheme viz. 'ELSS' category, name of below mentioned scheme of Shriram Mutual Fund shall stand revised as under with effect from **December 15, 2023**.

<b>Existing Scheme Name</b>	<b>New / Revised Scheme Name</b>
Shriram Long Term Equity Fund	Shriram ELSS Tax Saver Fund

This addendum forms an integral part of the SID and KIM of the scheme mentioned above.

All other terms and conditions as mentioned in the SID and KIM of the above scheme, read with the addenda issued from time to time, shall remain unchanged.

**For Shriram Asset Management Company Limited**  
(Investment Manager of Shriram Mutual Fund)

Date : November 15, 2023  
Place : Kolkata

Sd/-  
**Sneha Jaiswal**  
Compliance Officer

For more information, please contact **Shriram Asset Management Company Limited**, 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059. Tel: 022 6947 3400, Email: [info@shriramamc.in](mailto:info@shriramamc.in), Website: [www.shriramamc.in](http://www.shriramamc.in)

**Mutual fund investments are subject to market risks,  
read all scheme related documents carefully.**



# SHRIRAM

Mutual Fund

NURTURING TRUST. SHAPING DREAMS

## SHRIRAM MUTUAL FUND

Shriram House, No. 4 Burkit Road, T. Nagar, Chennai - 600 017

**Shriram Asset Management Company Limited (Investment Manager)**

Registered Office: 217, 2nd Floor, Swastik Chambers, Near Junction of S.T. & C.S.T. Road, Chembur, Mumbai - 400 071. CIN: L65991MH1994PLC079874; Website: [www.shriramamc.in](http://www.shriramamc.in)

**NOTICE-CUM-ADDENDUM TO THE STATEMENT OF ADDITIONAL INFORMATION (SAI) OF SHRIRAM MUTUAL FUND (FUND) AND SCHEME INFORMATION DOCUMENT (SID) / KEY INFORMATION MEMORANDUM (KIM) OF THE SCHEMES OF THE FUND**

**Change in Custodian and Fund Accountant for the schemes of Shriram Mutual Fund**

Notice is hereby given that Standard Chartered Bank registered with SEBI vide registration number "IN/CUS/006" under SEBI (Custodian of Securities) Regulations, 1996; and having its office at 3rd Floor 23-25, M G Road, Fort, Mumbai - 400 001, India; has been appointed as the new Custodian and Fund Accountant for the present as well as the future schemes of Shriram Mutual Fund in place of Stock Holding Corporation of India Limited, the existing Custodian and Fund Accountant, with effect from February 03, 2024.

This notice cum addendum forms an integral part of the SID / KIM of the above mentioned schemes and SAI of Shriram Mutual Fund.

All other terms and conditions as mentioned in the SID / KIM of the above mentioned schemes and SAI of Shriram Mutual Fund, read with the addenda issued from time to time, shall remain unchanged.

**For Shriram Asset Management Company Limited**  
(Investment Manager of Shriram Mutual Fund)

Date : December 12, 2023

Place : Kolkata

Sd/-  
**Sneha Jaiswal**  
Compliance Officer

For more information, please contact **Shriram Asset Management Company Limited**, 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059. Tel: 022 6947 3400, Email: [info@shriramamc.in](mailto:info@shriramamc.in), Website: [www.shriramamc.in](http://www.shriramamc.in)

**Mutual fund investments are subject to market risks,  
read all scheme related documents carefully.**