

# SERVICE REQUEST FORM



SUNDARAM MUTUAL

Folio Number

Name of the First Unit Holder

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**1. To Update Bank Details (Refer Instruction 1) Please enclose an original cancelled cheque leaf / passbook wherein the bank account number and mutual fund first holder name are printed (Mandatory) or a copy of the same attested by your current banker.**

Bank Name	Bank Branch & City
Account No.	Account Type
MICR Code*	IFSC/RTGS Code*

\*(9-digit number next to your cheque number)

(\*11 character code printed on a cheque / passbook)

**2. Additional KYC Details (Mandatory) (refer instruction 2)**

Individual  Non-Individual (Please attach mandatory Ultimate Beneficial Ownership (UBO) declaration form)

**a. Status of First/Sole Applicant** [Please (✓)]  Listed Company  Unlisted Company  Individual  Minor through guardian  HUF  
 Partnership  Society/Club  Company  Body Corporate  Trust  Mutual Fund  FPI  
 NRI-Repatriable  NRI-Non-Repatriable  FII/Sub account of FII  Fund of Funds in India  QFI  Others\_\_\_\_\_ (please specify)

**b. Occupation Details** [Please (✓)] (To be filled only if the applicant is an individual)  
**First Applicant**  Private Sector Service  Public Sector Service  Government Service  Business  Professional  Agriculturist  
 Retired  Housewife  Student  Forex Dealer  Others\_\_\_\_\_ (please specify)  
**Second Applicant**  Private Sector Service  Public Sector Service  Government Service  Business  Professional  Agriculturist  
 Retired  Housewife  Student  Forex Dealer  Others\_\_\_\_\_ (please specify)  
**Third Applicant**  Private Sector Service  Public Sector Service  Government Service  Business  Professional  Agriculturist  
 Retired  Housewife  Student  Forex Dealer  Others\_\_\_\_\_ (please specify)

**c. Gross Annual Income (in ₹)** [Please (✓)]  
**First Applicant**  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  > 25 Lacs - 1 Crore  > 1 Crore (or)  
Net-worth (Mandatory for non-individuals) ₹ \_\_\_\_\_ as on \_\_\_\_\_ (Not older than one year)  
**Second Applicant**  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  > 25 Lacs - 1 Crore  > 1 Crore (or) Net-worth \_\_\_\_\_  
**Third Applicant**  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  > 25 Lacs - 1 Crore  > 1 Crore (or) Net-worth \_\_\_\_\_

**d. First Applicant:**  
**For Individuals** [Please (✓)] Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/Promoters/Karta/Trustee/Whole time Directors)  I am PEP  I am related to PEP  Not Applicable  
**For Non-Individuals providing any of the below mentioned services** [Please (✓)]  
 Foreign Exchange/Money Changer Services  Gaming/Gambling/Lottery/Casino Services  Money Lending/Pawning  None of the above  
**Second Applicant:** (To be filled only if the applicant is an individual)  I am PEP  I am related to PEP  Not Applicable  
**Third Applicant:** (To be filled only if the applicant is an individual)  I am PEP  I am related to PEP  Not Applicable

**3. Go Green Services: To Update Contact Details (Refer Instruction 3)**

E-Mail	
STD	Telephone
	Mobile

By providing the details above, I confirm that I wish to receive the account statement, annual report and other correspondence by email and receive SMS updates on mobile.

**4. Nomination (Refer Instruction 4) Mandatory to fill in all fields. Proportion (%) in which units will be shared by each nominee should aggregate to 100%. In case of single nominee default proportion will be 100%.**

I wish to nominate the following person(s)

<b>1st Nominee</b> Name:..... Address:..... Proportion (%) in which units will be shared by first nominee.....% <b>If nominee is a minor:</b> Date of birth:.....Relationship:..... Name of Guardian:..... Address of Guardian:.....	<b>2nd Nominee</b> Name:..... Address:..... Proportion (%) in which units will be shared by second nominee.....% <b>If nominee is a minor:</b> Date of birth:.....Relationship:..... Name of Guardian:..... Address of Guardian:.....	<b>3rd Nominee</b> Name:..... Address:..... Proportion (%) in which units will be shared by third nominee.....% <b>If nominee is a minor:</b> Date of birth:.....Relationship:..... Name of Guardian:..... Address of Guardian:.....
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**5. To Register PAN and KYC (Refer instruction 5)**

First Holder / Guardian PAN	Second Holder PAN	Third Holder PAN

**KYC updated (Please tick ✓): 1st Holder / Guardian:**  Yes  No **2nd Holder**  Yes  No **3rd Holder**  Yes  No

**Signature (Mandatory Field)**

**Declaration:** I/We hereby declare that all the particulars given herein are true, correct and complete to the best of my/our knowledge and belief. I/We agree to notify Sundaram Mutual Fund / Sundaram Asset Management Company Limited immediately in the event the information in the self-certification changes. I/ We further agree not to hold Sundaram Asset Management, its sponsor, their employees, authorised agents, service providers, representatives of the distributors liable for any consequences/losses/costs/damages in case of any of the above particulars being false, incorrect or incomplete or in case of my/our not intimating/delay in intimating any changes to the above particulars. I/We hereby authorise Sundaram Asset Management to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/us, to any Indian or foreign governmental or statutory or judicial authorities/agencies, the tax/revenue authorities, other investigation agencies and SEBI registered intermediaries without any obligation of advising me/us of the same.

First Holder	Second Holder	Third Holder

Request Date.....

Place.....

Please refer the instructions given below

### Instruction 1

Original of any one of the following documents may be submitted, or produced for verification, or copy of the same attested by the Bank:

- Cancelled original cheque of the new bank mandate with first unit holder name and bank account number printed on the face of the cheque.
- Self attested copy of bank statement
- Bank passbook with current entries not older than 3 months
- Bank Letter duly signed by branch manager / authorized personnel.

### Instruction 2

#### **Additional KYC Details**

In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/networth and Politically Exposed Person (PEP) status mentioned under section 2(d) which was forming part of uniform KYC form will now be captured in the application form of the Fund. Also, the details of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc., (applicable for first/sole applicant) is required to be provided as part of Client Due Diligence (CDD) Process of the Fund.

Politically Exposed Persons (PEP): PEPs are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, etc.

Ultimate Beneficial Owner: Pursuant to SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 on Anti Money Laundering Standards and to Guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) ('UBO'). The provisions w.r.t. Identification of UBO are not applicable to the investor or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a listed company. (For more information on PEP & UBO please refer [www.sundarammutual.com](http://www.sundarammutual.com).)

### Instruction 3

**Go Green E-Update Services:** By providing details of your personal email address, you will receive your account statement by paperless mode via email, in an efficient and timely manner. You would also be contributing to the environment. The investor is deemed to be aware of security risks including interception of documents and availability of content to third parties. Sundaram Asset Management provides interesting information on the economy, markets and funds. If you wish to receive your account statement, annual report and other such updates by email, please fill in your email address overleaf. Further, by providing your mobile number, you can avail of instant SMS alerts for your transactions.

### Instruction 4

Please indicate a nominee who should be entitled to the benefits of your investment in the event of an untoward development. Where a folio has joint holders, all holders should sign the request for nomination even if the mode of holding is not "joint." Every new nomination for a folio/account will overwrite the existing nomination. Nomination is not applicable in case of non-individuals or when the account/folio is held on behalf of a minor. Nomination forms cannot be signed by Power of Attorney Holders.

### Instruction 5

In case of Registration of PAN / KYC, Mutual funds shall collect the following supporting documents:

- Self attested PAN Copy in case of registration of PAN along with a written and duly signed request for registration of PAN
- Self attested KYC acknowledgement copy in case of registration of KYC.