

# COMMON APPLICATION FORM



Please refer to the instructions while filling the Application Form. Tick  whichever is applicable.

<b>1</b>		ARN CODE / RIA <b>ARN-0018</b>	Employee Unique Identification Number (EUIIN)*	SUB-BROKER CODE / AGENT CODE	DATE & TIME OF RECEIPT FOR OFFICE USE ONLY
*I/we hereby confirm that the EUIIN 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*.					
Sole /1st Applicant/Guardian/Authorised Signatory/POA Holder		2nd Applicant/Authorised Signatory/POA Holder		3rd Applicant/Authorised Signatory/POA Holder	
<b>2 TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS/AGENTS ONLY (Please tick any one of the below)</b>					
<input type="checkbox"/> I confirm that I am a First Time Investor in Mutual Funds (Rs. 150/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more)		OR		<input type="checkbox"/> I confirm that I am an Existing Investor in Mutual Funds (Rs. 100/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more)	
In case the purchase/subscription amount is Rs. 10,000/- or more and your AMFI Registered Distributor has chosen 'opt in' option of charging Transaction Charges to their investor, the same are deductible as applicable from the purchase/subscription amount and payable to the distributor, Units will be issued against the balance amount invested. (refer General Information Point No. 11)					
<b>3 EXISTING INVESTOR INFORMATION (If you have existing folio please fill in sections 3,6,9,11,12 and 17)</b>					
Unit Holding Options		<input type="checkbox"/> Demat Mode <input type="checkbox"/> Physical Mode		Folio Number	
<b>4 DEMAT ACCOUNT DETAILS</b> (Please ensure that the sequence of names as mentioned in the application form matches with that, of the account held in depository participant. Demat Account details are compulsory, if demat mode is opted above.)					
<input type="checkbox"/> NSDL Depository Participant Name		Enclosures			
<input type="checkbox"/> CDSL DP ID Number		<input type="checkbox"/> Client Master List		<input type="checkbox"/> Delivery Instruction Slip	
Beneficiary Account Number		<input type="checkbox"/> Transaction Cum Holding Statement			
<b>5 NEW INVESTOR INFORMATION (To be filled in Block Letters, please leave one box blank between two words)</b>					
<b>NAME OF FIRST/SOLE APPLICANT</b> <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s.					
PAN/PERN #		<input type="checkbox"/> KYC Proof #		Date of Birth/Date of Incorporation	
CKYC Id				D D M M Y Y	
Aadhaar No		By sharing the Aadhaar number I provide my consent for sharing / disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios.			
<b>Father's Name/Name of Guardian (in case of Minor) / Contact Person (in case of non individual applicant)</b> <input type="checkbox"/> Mr. <input type="checkbox"/> Ms.					
PAN/PERN #		<input type="checkbox"/> KYC Proof #		Relationship with Minor/Designation	
CKYC Id				MANDATORY	
Aadhaar No		By sharing the Aadhaar number I provide my consent for sharing / disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios.			
<b>Mailing Address of First/Sole Applicant</b> (PO Box address is not sufficient)					
City State Country Pin Code					
Overseas Address (Mandatory in case of NRI/FII. PO Box address is not sufficient. Investors residing overseas and with PO Box address please provide your Indian address) *All Non Individual Investors have to mandatorily fill FATCA/CRS Declaration form (for non-individuals/legal entity)*					
<b>Overseas Address</b>					
Country					
<b>6 FIRST/SOLE APPLICANT OTHER DETAILS</b>					
Telephone		Mobile			
Email		Mode of Holding <input type="checkbox"/> Single <input type="checkbox"/> Joint <input type="checkbox"/> Anyone or Survivor (s) (Default option in case of more than one Applicant)			
Occupation (of first/sole Applicant)		<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> House Wife <input type="checkbox"/> Agriculture <input type="checkbox"/> Service <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Others			
Status (of first/sole Applicant)		<input type="checkbox"/> Resident Individual <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Society/Club Company <input type="checkbox"/> NRI <input type="checkbox"/> Repartriable <input type="checkbox"/> Trust <input type="checkbox"/> HUF			
		<input type="checkbox"/> Partnership Firm <input type="checkbox"/> On Behalf of Minor <input type="checkbox"/> Bank/Financial Institution <input type="checkbox"/> NRI <input type="checkbox"/> Non-Repartriable (NRO) <input type="checkbox"/> Others			
Gross Annual Income		Net-worth			
<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 5 - 10 Lacs <input type="checkbox"/> >25 Lacs - 1 Crore		<input type="checkbox"/> 1 - 5 Lacs <input type="checkbox"/> 10 - 25 Lacs <input type="checkbox"/> >1 Crore		(Mandatory for Non-Individuals) Rs. _____ AS ON (Not older than 1 year) D D M M Y Y	
Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors) <input type="checkbox"/> I am PEP <input type="checkbox"/> I am Related to PEP <input type="checkbox"/> Not Applicable					
Non - Individual Investors involved/ providing any of the mentioned services					
<input type="checkbox"/> Foreign Exchange / Money Changer Services <input type="checkbox"/> Money Lending / Pawning					
<input type="checkbox"/> Gaming / Gambling / Lottery / Casino Services <input type="checkbox"/> None of the Above					

# Please attach proof. Refer instructions page point XII - PAN/PERN and KYC

### Acknowledgement Slip (To be filled in by the investor)

Received from Mr./Ms./M/s. _____	Collection Centre's Stamp & Receipt Date and Time
An application for Scheme: _____ Plan: _____ Option: _____	
Cheque/DD No. : _____ Dated : _____ Amount (Rs.) _____	
Drawn on Bank and Branch : _____	
Please note : All Purchases are subject to realisation of Cheques/DD.	

Website: [www.esselfinance.com](http://www.esselfinance.com)

Toll Free : 1800 103 8999  
Non Toll Free: 022-71335205

[mutualfund@esselfinance.com](mailto:mutualfund@esselfinance.com)

**7 JOINT APPLICANT DETAILS**

**a NAME OF SECOND APPLICANT**  Mr.  Ms.

PAN/PERN #  KYC Proof # Date of Birth/Date of Incorporation 

D	D	M	M	Y	Y
---	---	---	---	---	---

CKYC Id

Aadhaar No By sharing the Aadhaar number I provide my consent for sharing / disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios.

Gross Annual Income  Below 1 Lac  1 - 5 Lacs  5 - 10 Lacs  10 - 25 Lacs  >25 Lacs - 1 Crore  >1 Crore Politically Exposed Person (PEP) Status  I am PEP  I am Related to PEP  Not Applicable (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)

**Father's Name**

**Occupation** (of first/sole Applicant)  Business  Professional  House Wife  Agriculture  Service  Student  Retired  Others

**b NAME OF THIRD APPLICANT**  Mr.  Ms.

PAN/PERN #  KYC Proof # Date of Birth/Date of Incorporation 

D	D	M	M	Y	Y
---	---	---	---	---	---

CKYC Id

Aadhaar No By sharing the Aadhaar number I provide my consent for sharing / disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios.

Gross Annual Income  Below 1 Lac  1 - 5 Lacs  5 - 10 Lacs  10 - 25 Lacs  >25 Lacs - 1 Crore  >1 Crore Politically Exposed Person (PEP) Status  I am PEP  I am Related to PEP  Not Applicable (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)

**Father's Name**

**Occupation** (of first/sole Applicant)  Business  Professional  House Wife  Agriculture  Service  Student  Retired  Others

**8 Power of Attorney (POA)**

**NAME OF POA**  Mr.  Ms.  M/s.

PAN/PERN #  KYC Proof # Date of Birth 

D	D	M	M	Y	Y
---	---	---	---	---	---

**9 \*FATCA INFORMATION/ FOREIGN TAX LAWS (For Individual including Sole Proprietor) (For Non-individual, mandatory to fill up FATCA CRS form) (Refer instruction)**

**Place of Birth**  Indian  U.S.  Others (Please specify) **Country of Birth**

Nationality  Indian  U.S.  Others (Please specify) Tax Residence Address (for KYC Address)  Residential  Registered  Others  Business

Are you a tax resident (i.e. are you assessed for Tax) in any other country outside India? Yes  No   
 If 'No' please proceed for the signature of declaration  
 If 'YES', please fill for ALL countries (other than India) in which you are Resident for tax purposes i.e., where you are a citizen / Resident / Green Card Holder / Tax Resident in the respective countries

Applicant Details	Country of Tax Residency	Tax Identification Number or Functional Equivalent	Identification Type (Tin or other, please specify)	If TIN is not available, please tick <input checked="" type="checkbox"/> the reason A, B or C (as defined below)
Applicant 1				* Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
Applicant 2				* Reason B <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
Applicant 3				* Reason C <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 country of tax residence do not require the TIN to be collected)  
 \* Reason C others; please state the reason thereof.

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

# Please attach proof. Refer instructions page point XII - PAN/PERN and KYC

# COMMON APPLICATION FORM



## 10 \*BANK ACCOUNT DETAILS (Please attach copy of cancelled cheque) For registering Multiple Bank Accounts please fill up "Registration of Multiple Bank Account" Form

Name of the Bank : \_\_\_\_\_ Branch: \_\_\_\_\_

Account Type (Please  )  SB  Current  NRO  NRE  FCNR Account Number : \_\_\_\_\_

Branch Address : \_\_\_\_\_ City: \_\_\_\_\_ Pin: \_\_\_\_\_

IFSC Code : \_\_\_\_\_ MICR Code : \_\_\_\_\_

AMC reserves the right to use any mode of payment deemed appropriate. I/We understand that AMC shall not be responsible if transaction through DC/RTGS/NEFT could not be carried out because of incomplete or incorrect information.

## 11 \*INVESTMENT DETAILS I/We would like to invest in the following scheme of Essel Mutual Fund Scheme :

Scheme :Essel \_\_\_\_\_ Plan  Regular  Direct

Option  Growth  Dividend Sub-Option  Dividend Payout  Dividend Reinvestment (default)

In case of any ambiguity / incomplete information, the default plan / option / sub-option will be applicable as per the scheme's Key Information Memorandum, Scheme Information Document & Statement of Additional Information. Please see the Plan, Option and Dividend policy details in the SID/KIM before filling in the above details.

## 12 \*PAYMENT DETAILS (In case of DD, please provide us specific declaration)

Mode of Payment  Cheque  DD  Fund Transfer  Others \_\_\_\_\_ Please specify

Cheque/DD No. \_\_\_\_\_ Date D D M M Y Y Y Y

Gross Amount (Rs) \_\_\_\_\_ DD Charges (Rs) \_\_\_\_\_ Net Amount (Rs) \_\_\_\_\_

Drawn on Bank & Branch \_\_\_\_\_ Account Type  SB  Current  NRO  NRE  FCNR

## 13 SYSTEMATIC INVESTMENT PLAN (SIP) PAYMENT TYPES (Please select any one option)

SIP through Post Dated Cheques (Please fill & submit with this attached form)  SIP through Auto Debit (ECS) (Please fill up enclosed SIP Auto Debit (ECS) Form & submit with this form)

## 14 NOMINATION DETAILS (Please refer to Instructions page, point no VII) In case of existing investor, nomination details mentioned in the below table will replace the existing details registered in the folio

Nomination Required  YES  NO

Nominee Name	Relationship with Nominee	Date of Birth of Minor	Guardian Name (in case Nominee is Minor)	Allocation (%)	Sign of Guardian	Sign of Nominee	Sign of Applicants
							1st App.
							2nd App.
							3rd App.

Please note that if you do not furnish any nomination details, it is deemed to be assumed that you do not wish to nominate anyone.

## 15 HOW DO YOU WISH TO RECEIVE THE DOCUMENT(S) (Please )

I/We wish to receive the following documents via email in lieu of physical document (s)  Annual Reports  Account Statement  Other Statutory Information

I/We wish to receive the Account Statement in ( any one)  English (Default option)  Bengali  Malayalam

## 16 DOCUMENTS ENCLOSED (Please )

Resolution/Authorisation to invest  List of Authorized Signatories with Specimen Signatures  Memorandum & Articles of Association

Trust Deed  Bye-laws  Partnership Deed  Overseas Auditor Certificate  Notarised POA  Copy of cancelled cheque

Copy of PAN Card  KYC  PIO Card  Foreign Inward Remittance Certificate  Special Product Form (SIP / STP / SWP / AEP)

## 17 \*DECLARATION AND SIGNATURES

I/We have read and understood the contents of the Statement of Additional Information and Scheme Information Document of the Scheme (s). I/We hereby apply for units of the scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the Scheme and to other statutory requirements of SEBI/AMFI, Prevention of Money Laundering Act, 2002 and such other regulations as may be applicable from time to time. I/We confirm to have understood the investment objective, investment pattern and risk factors applicable to Plan/Option under the Scheme (s). I/We agree that in case of my/our investment in the scheme is equal to or more than 25% of the corpus of the scheme, then Essel Finance AMC Limited (Formerly: Peerless Funds Management Co. Limited) has full right to refund the excess to me/us to bring my/our investment below 25%. I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making this investments. I/We undertake that these investments are on my/our own account and in event Know Your Customer process is not completed by me/us to the satisfaction of the Mutual Fund, I/We hereby authorise the Mutual Fund to redeem the funds invested in the scheme, in favour of the applicant at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law. I/We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulations or any other applicable law enacted by the Government of India or any Statutory Authority. I/We hereby declare that the particulars above are correct. I/We hereby, further agree that the Fund can directly credit all the dividend and redemption amount to my bank details given above. The ARN holder has disclosed to me/us all the commission (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. For NRIs : I/We confirm that I am/I/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 my/our Non-resident External/Ordinary Account/FCNFI/NRSR Account. I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our Aadhaar number(s) in accordance with Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/We hereby provide my/our consent of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios.

Sole/1st applicant/Guardian/Authorised Signatory/POA Holder \_\_\_\_\_ 2nd Applicant/Authorised Signatory/POA Holder \_\_\_\_\_ 3rd Applicant/Authorised Signatory//POA Holder \_\_\_\_\_

All fields marked with \* are mandatory

## CHECKLIST (Please submit the following documents with application wherever applicable). All documents should be original/true copies certified by a Director/Trustee/Company Secretary/Authorised Signatory/Notary Public.

Documents	Individual	Companies	Societies	Partnership Firm	Investment through POA	Trust	NRI	FIs
Resolution/Authorisation to invest		✓	✓	✓		✓		✓
List of Authorised Signatories with Specimen Signatures		✓	✓	✓	✓	✓		✓
Memorandum & Articles of Association		✓						
Trust Deed						✓		
Bye-laws			✓					
Partnership Deed				✓				
Notarised POA					✓			
PAN/PERN Proof	✓	✓	✓	✓	✓	✓	✓	✓
KYC in case of Investment of any Amount	✓	✓	✓	✓	✓	✓	✓	✓
Foreign Inward Remittance Certificate		✓	✓	✓	✓	✓	✓	✓
Copy of Cancelled Cheque	✓							
FATCA & CRS Declaration		✓	✓	✓	✓	✓		✓

# SYSTEMATIC INVESTMENT PLAN (SIP)



(Applicable for Lumpsum Additional Purchase as well as SIP Registration)  
**LUMPSUM / SIP AUTO DEBIT / NACH / ECS FORM** (for Lumpsum Investment please fill 6)

**New Investor are requested to fill in the Common Application form.** First SIP Cheque and subsequent via Auto Debit in selected cities only.

<b>1</b>	<b>DISTRIBUTOR / ARN CODE / RIA</b>	<b>Employee Unique Identification Number (EUIIN)*</b>	<b>RM CODE</b>	<b>DATE &amp; TIME OF RECEIPT</b>
	<b>ARN-0018</b>			FOR OFFICE USE ONLY
Upfront commission shall be paid directly by the Investor to the AMFI registered distributors based on the investor's assessment of various factors including the service rendered by the distributor				
* I/We hereby confirm that the EUIIN 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.				
	Sole/1st Applicant/Guardian/Authorised Signatory/POA Holder	2nd Applicant/Authorised Signatory/POA Holder	3rd Applicant/Authorised Signatory/POA Holder	

<b>2</b>	<b>REGISTRATION CUM MANDATE FORM FOR SIP THROUGH NACH, AUTO DEBIT OR ECS (Debit Clearing/Auto Debit)</b>			
	(Please <input checked="" type="checkbox"/> ) <input type="checkbox"/> New Registration* <input type="checkbox"/> Renewal of SIP <input type="checkbox"/> Change in Bank Details <input type="checkbox"/> Cancellation of SIP <input type="checkbox"/> Micro SIP * if you are a new investor kindly fill the common application form			

<b>3</b>	<b>TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS/AGENTS ONLY (Please tick any one of the below)</b>			
	<input type="checkbox"/> I confirm that I am a First Time Investor in Mutual Funds (Rs. 150/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more) OR <input type="checkbox"/> I confirm that I am an Existing Investor in Mutual Funds (Rs. 100/- will be deducted as transaction charges for transaction of Rs. 10,000/- and more) If the total commitment of investment through SIP (i.e. installments) amounts to Rs. 10,000/- or more and your AMFI registered Distributor has chosen 'opt in' option of charging transaction charge, the same are deductible as applicable (refer instruction related to SIP) from the installment amount and paid to the distributor. Transaction charges will be recoverable in 3 to 4 installments. Units will be issued against the balance amount invested.			

<b>4</b>	<b>INVESTOR AND INVESTMENT DETAILS</b>			
	Sole/First Investor Name			
	PAN/PERN	<input type="checkbox"/> KYC Proof		
	CKYC Id			
	Aadhaar No	By sharing the Aadhaar number I provide my consent for sharing / disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios.		
	Folio/Application No.	Existing Investors please mention Folio No.		
	Scheme	Essel		
	Plan	<input type="checkbox"/> Direct <input type="checkbox"/> Regular <input type="checkbox"/> Growth <input type="checkbox"/> Dividend <input type="checkbox"/> Sub Option <input type="checkbox"/> Dividend Reinvestment (default) <input type="checkbox"/> Dividend Payout		
	Dividend Frequency			
In case of any ambiguity / incomplete information, the default plan / option / sub-option will be applicable as per the scheme's Key Information Memorandum, Scheme Information Document & Statement of Additional Information . Please see the Plan, Option and Dividend policy details in the SID/KIM before filling in the above details. <b>Individual Applicant must fill individual self certification under Fatca. All Non Individual Investors have to mandatorily fill UBO Declaration Form.</b>				

<b>5</b>	<b>SIP DETAILS (Please tick on any 1 SIP frequency only. In case the SIP frequency opted for is either Monthly, Quarterly or Half Yearly, please tick on any 1 SIP date only)</b>			
	Each SIP Amount (Rs)			
	First SIP Cheque No.	Cheque Amount (Rs)	Cheque Date :	
	Frequency	<input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half Yearly	SIP Period	Start Date M M Y Y End Date M M Y Y <input type="checkbox"/> Regular <input type="checkbox"/> Perpetual
	SIP Date	<input checked="" type="checkbox"/> Every Alternate Wednesday <input type="checkbox"/> 1st <input type="checkbox"/> 7th <input type="checkbox"/> 10th <input type="checkbox"/> 15th <input type="checkbox"/> 20th <input type="checkbox"/> 25th	SIP Date should be either 1st / 7th / 10th / 15th / 20th / 25th (Note : Cheque should be drawn on bank details provided below. Please allow minimum one month for Auto Debit to register and start). Each of the SIP installment excluding initial cheque should be of the same amount & there should be a gap of 30 days between 1st & 2nd SIP installment. Please refer NACH instruction page for further clarification.	
I/We hereby, authorise EsseL Mutual Fund and their authorised service providers, to debit my/our following bank account NACH/ECS (Debit Clearing)/Auto Debit to account for collection of SIP Payment				
I/We hereby declare that the particulars given above are correct and express my willingness to make payment referred above through participation in Lumpsum NACH/ECS/Auto debit. If the transaction is delayed or not executed at all for any reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We will inform EsseL Mutual Fund about any changes in my bank account. I/We have read and agreed to the terms and conditions mentioned overleaf. I/We have read and understood the contents of SID/KIM/SAI, I/We hereby apply for the respective units of EsseL Mutual Fund Scheme at NAV based resale price and agree to abide by terms, conditions, rules and regulation of the scheme (s).				
	Signature(s)	1st Applicant / Guardian / Authorised Signatory	2nd Applicant / Authorised Signatory	3rd Applicant / Authorised Signatory
To be signed by ALL UNIT HOLDERS if mode of holding is Joint				

<b>6</b>	<b>LUMPSUM / NACH / ECS / DIRECT DEBIT / MANDATE INSTRUCTIONS FORM (applicable for LUMPSUM additional purchase as well as SIP registration)</b>			
			Date D D M M Y Y Y Y	
	Sponsor Bank Code	Utility Code		
	(Tick <input checked="" type="checkbox"/> )			
	<input type="checkbox"/> CREATE <input type="checkbox"/> MODIFY <input type="checkbox"/> CANCEL	I/We hereby authorize ESSEL MUTUAL FUND to debit (Tick <input checked="" type="checkbox"/> ) SB / CA / CC / SB-NRE / SB-NRO / Other		
	Bank a/c number			
	with Bank	Name of customers bank	IFSC	or MICR
	an amount of Rupees	Rs.		
	Frequency	<input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Quarterly <input checked="" type="checkbox"/> Half Yearly <input checked="" type="checkbox"/> Yearly <input checked="" type="checkbox"/> As and when presented		
	Reference 1	Folio No.:	Mobile No.	
	Reference 2	Scheme / Plan: All schemes of EsseL Mutual Fund	Email ID	
I Agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my accounts as per latest schedule of charges of the bank.				
	Period From			
	To	1. Signature Primary Account holder	2. Signature of Account holder	3. Signature of Account holder
	Or	1. Name as in bank records	2. Name as in bank records	3. Name as in bank records
	<input type="checkbox"/> Until Cancelled			
Declaration: This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/corporate to debit my account, based on the instruction as agreed and signed by me. I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the user entity / corporate or the bank where I have authorized the debit.				

Acknowledgment Slip (To be filled in by the investor)	SIP through Lumpsum / ECS / Auto Debit Form	
Received from Mr./Ms./M/s.		Collection Centre's Stamp & Receipt Date and Time
An application for Scheme :	Plan : Option :	
Amount :	Frequency : Date of Commencement :	

# Details of FATCA and CRS information (For Non-Individuals / Legal Entity)



## APPLICANT DETAILS

NAME OF THE ENTITY											
TYPE OF ADDRESS GIVEN AT KRA <input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office											
CUSTOMER ID / FOLIO NO											
PAN						DATE OF INCORPORATION					
						D D / M M / Y Y Y Y					
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)

\* 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 para3 (vii) Exemption code for U.S. persons under Part 3 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, Financial Institution <sup>3</sup> <input type="checkbox"/> or Direct reporting NFE <sup>4</sup> <input type="checkbox"/> (please tick as appropriate)	GIIN <input type="text"/>
	<b>Note:</b> 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
	Name of the sponsoring entity <input type="text"/>
	<input type="text"/>
GIIN not available (please tick as applicable) <input type="checkbox"/> Applied for	
if the entity is a financial institution, <input type="checkbox"/> Not required to apply for - please specify 2 digits sub - category <sup>10</sup>	
<input type="checkbox"/> 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) No <input type="checkbox"/>	Yes <input type="checkbox"/> (if yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) No <input type="checkbox"/>	Yes <input 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 _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3. Is the Entity an active <sup>1</sup> non-financial Entity (NFE) No <input type="checkbox"/>	Yes <input type="checkbox"/> Name of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> (Mention code - refer 2c of Part D)
4. Is the Entity a passive <sup>2</sup> NFE No <input type="checkbox"/>	Yes <input type="checkbox"/> (if yes, please fill UBO declaration in the next section) Nature of business _____

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

# Details of FATCA and CRS information (For Non-Individuals / Legal Entity)



# If passive NFE, please provide below additional details for each of Controlling person.

(Please attach additional sheets if necessary)

Name & PAN / Any other Identification Number <small>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence, NREGA Job Card, Others)</small> City of Birth - Country of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male / Female / Other
1. Name & PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB <u>  </u> <u>  </u> / <u>  </u> <u>  </u> / <u>  </u> <u>  </u> <u>  </u> <u>  </u> Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
2. Name & PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB <u>  </u> <u>  </u> / <u>  </u> <u>  </u> / <u>  </u> <u>  </u> <u>  </u> <u>  </u> Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
3. Name & PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB <u>  </u> <u>  </u> / <u>  </u> <u>  </u> / <u>  </u> <u>  </u> <u>  </u> <u>  </u> Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others

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

\* To include U.S. where controlling person is a U.S. 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, 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 U.S. citizen or green card holder, please include United States in the foreign country information field along with the U.S. Tax Identification Number.

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

## PART C: Certification

I / We have understood the information requirements of the 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:       /       /                  

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Signature & Seal