

# SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA & CRS - SELF CERTIFICATION FORM FOR INDIVIDUALS

[Please consult your professional tax advisor on your tax residency and related FATCA & CRS guidance]

## A. FATCA & CRS INFORMATION (SELF CERTIFICATION)

|     |                      |           |                      |
|-----|----------------------|-----------|----------------------|
| PAN | <input type="text"/> | Folio No. | <input type="text"/> |
|-----|----------------------|-----------|----------------------|

|      |                      |
|------|----------------------|
| Name | <input type="text"/> |
|------|----------------------|

|                              |                                      |                                   |   |  |
|------------------------------|--------------------------------------|-----------------------------------|---|--|
| Type of Address given at KRA | <input type="checkbox"/> Residential | <input type="checkbox"/> Business | <input type="checkbox"/> Residential / Business | <input type="checkbox"/> Registered Office |
|------------------------------|--------------------------------------|-----------------------------------|---|--|

|             |                      |        |                      |               |   |   |   |   |   |   |   |   |
|-------------|----------------------|--------|----------------------|---------------|---|---|---|---|---|---|---|---|
| Nationality | <input type="text"/> | Gender | <input type="text"/> | Date of birth | D | D | M | M | Y | Y | Y | Y |
|-------------|----------------------|--------|----------------------|---------------|---|---|---|---|---|---|---|---|

|        |                      |                |                      |                  |                      |
|--------|----------------------|----------------|----------------------|------------------|----------------------|
| Mobile | <input type="text"/> | Place of Birth | <input type="text"/> | Country of Birth | <input type="text"/> |
|--------|----------------------|----------------|----------------------|------------------|----------------------|

|               |                      |                                 |
|---------------|----------------------|---------------------------------|
| Father's name | <input type="text"/> | (mandatory if PAN not provided) |
|---------------|----------------------|---------------------------------|

|               |                      |
|---------------|----------------------|
| Spouse's name | <input type="text"/> |
|---------------|----------------------|

|  |                                   |   |  |  |                                     |                                     |                                 |
|--|-----------------------------------|---|--|--|-------------------------------------|-------------------------------------|---------------------------------|
| Documents required (if PAN not provided) | <input type="checkbox"/> Passport | <input type="checkbox"/> Election ID Card | <input type="checkbox"/> Govt. ID Card | <input type="checkbox"/> Driving License | <input type="checkbox"/> UIDAI Card | <input type="checkbox"/> NREGA Card | <input type="checkbox"/> Others |
|--|-----------------------------------|---|--|--|-------------------------------------|-------------------------------------|---------------------------------|

|  |                      |
|--|----------------------|
| Identification number of the document provided | <input type="text"/> |
|--|----------------------|

Is the applicant/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India?  Yes  No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

| S No | Country of Tax Residency# | Tax Payer Identification Number ^ | Identification Type [TIN or other, please specify] |
|------|---------------------------|-----------------------------------|--|
| 1    | <input type="text"/>      | <input type="text"/>              | <input type="text"/>                               |
| 2    | <input type="text"/>      | <input type="text"/>              | <input type="text"/>                               |
| 3    | <input type="text"/>      | <input type="text"/>              | <input type="text"/>                               |

#To also include USA, where the individual is a citizen/ green card holder of USA.

^ In case Tax Identification Number is not available, kindly provide its functional equivalent.

## B. ADDITIONAL KYC INFORMATION

|                                      |                                   |   |  |   |  |                                       |                                    |
|--------------------------------------|-----------------------------------|---|--|---|--|---------------------------------------|------------------------------------|
| Occupation Details [Please tick (✓)] | <input type="checkbox"/> Service  | <input type="checkbox"/> Private Sector | <input type="checkbox"/> Public Sector | <input type="checkbox"/> Government Service | <input type="checkbox"/> Student                       | <input type="checkbox"/> Professional | <input type="checkbox"/> Housewife |
|                                      | <input type="checkbox"/> Business | <input type="checkbox"/> Retired        | <input type="checkbox"/> Agriculture   | <input type="checkbox"/> Proprietorship     | <input type="checkbox"/> Others _____ (please specify) |                                       |                                    |

|   |                                      |                                     |                                      |                                       |   |                                   |
|---|--------------------------------------|-------------------------------------|--------------------------------------|---------------------------------------|---|-----------------------------------|
| Gross Annual Income (Rs.) [Please tick (✓)] | <input type="checkbox"/> Below 1 Lac | <input type="checkbox"/> 1 - 5 Lacs | <input type="checkbox"/> 5 - 10 Lacs | <input type="checkbox"/> 10 - 25 Lacs | <input type="checkbox"/> >25 Lacs - 1 Crore | <input type="checkbox"/> >1 Crore |
|---|--------------------------------------|-------------------------------------|--------------------------------------|---------------------------------------|---|-----------------------------------|

OR

|   |                 |                      |                      |                      |                      |                      |                      |                         |
|---|-----------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|-------------------------|
| Net-worth (Mandatory for Non-Individuals) | Rs. _____ as on | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | (Not older than 1 year) |
|   |                 | DD                   | MM                   | YYYY                 |                      |                      |                      |                         |

|  |                                   |  |   |
|--|-----------------------------------|--|---|
| Politically Exposed Person (PEP) Status* | <input type="checkbox"/> I am PEP | <input type="checkbox"/> I am Related to PEP | <input type="checkbox"/> Not Applicable |
|--|-----------------------------------|--|---|

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

## C. Declaration:

I have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform HDFC Asset Management Company Limited/HDFC Mutual Fund/ Trustees for any modification to this information promptly. I further agree to abide by the provisions of the Scheme related documents inter alia provisions on 'Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI)'.

Date:

Place:

**First Applicant / Guardian**

## Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit 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 folio(s) or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

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

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

| FATCA/ CRS Indicia observed (ticked)  | Documentation required for Cure of FATCA/ CRS indicia   |
|---|---|
| U.S. place of birth   | <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document <b>evidencing nationality or citizenship</b> (refer list below); <b>AND</b></li> <li>3. <b>Any one</b> of the following documents:               <ol style="list-style-type: none"> <li>a. Certified Copy of "Certificate of Loss of Nationality or</li> <li>b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth</li> </ol> </li> </ol>                                     |
| Residence/ mailing address in a country other than India  | <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>   |
| Telephone number in a country other than India  | <p><b><i>If no Indian telephone number is provided</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b><i>If Indian telephone number is provided along with a foreign country telephone number</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b></li> <li>2. Documentary evidence (refer list below)</li> </ol> |
| Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts) | <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>   |

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

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

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