Nippon india Mutual Fund



*To be filled in capital letters. *Please strike off the irrelevant fields in the form wherever details are not updated

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Folios /Account Numbers (Investor can opt for multiple requests in one single application form.)

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8 KYC Updation (Please Tick) *Please reference of the second seco		ns no. 12 for Second A			ed.	
				Third Applicant	<i>.</i>	
9. Revalidation of Income Distribution cum I/We are in receipt of Redemption/ Income Dis Cheque No.: I/ We are herewith enclosing the warrant as I/ We co 1. Bank details incorrectly mentioned 2. Warrant val I request to reissue the said warrant after necessar	uld not deposit the lidity period has exp	al withdrawal Cheque Date: same due to to bired	(IDCW) warrant	as below.	Cheque	
10. Updation/Correction of PAN *Please refer	the instructions for	the documer	its to be submit	ted.		
First / Sole applicant PAN No.					PAN Proof E	nclosed
Guardian (In case of Minor) PAN No.					PAN Proof E	nclosed
Second Applicant PAN No.					PAN Proof E	nclosed
Third Applicant PAN No.					PAN Proof E	nclosed
11. Nominee Updation (Write in capital lette	ers)					
Nominee Name Nor & Address Gu	AN of minee / (%) ardian	Date of Birth of Nominee	Nominee Relation With Investor	Guardian Name (in case Nominee is Minor)	Guardian Relation with Nominee	Sign of Nominee / Guardian (in case Nominee is Minor)
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FOR NOMINATION OPT-OUT: I/We DO NOT wis	sh to make a nomi	i nation. (Plea	ase tick (✓) if tł	ne unit holder does	l not wish to nom	ninate anyone)
I / We, the undersigned applicant(s)/unitholder(s) he units held in my / our mutual fund folio(s) and underst in case of my demise / death of all the unit holders in th competent authority, as may be required by the Mutu value of the units held in the mutual fund folio/s.	tand the implication ne folio, my / our lego	ns / issues invo 11 heir(s) would	lved in non-app d need to submit	pointment of any nom all the requisite docu	ninee(s) and am/ ments issued by	are further aware that the Court or such other
12. FATCA Updation						
Country of Birth			N	Nationality		
Are you a tax resident of any country other than If Yes, please mention all the countries in which identification type in the column below			ooses and the	associated Taxpa	yer Identificati	on Number and its
Country	Tax-Payer	Identificat	ion Number		Identificatior	п Туре
13. Signature/s						
SIGN HERE Note: All Unit holder's signature is mandatory irr	At	econd Applica uthorised Sign de of holding	atory	for nominee upda	Third Applic Authorised Sig	

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Acknowledgment Slip

(To be filled by the Investor)

Registered Office Address: 4th Floor, Tower A, Peninsula Business Park, Ganapatrao Kadam Marg, Lower Parel (W), Mumbai - 400 013.

Customer Care: 1860 266 0111 (Call charges apply) | https://mf.nipponindiaim.com

INSTRUCTIONS

This form should be used to update the below mentioned Non Commercial requests a) Date of Birth

- b) Consolidation Of Folios
- c) Update/Change of Contact Details
- d) Change of Mode Of Operation
- e) Power of Attorney (POA)
- f) Change of Income Distribution cum capital withdrawal Option
- g) Release Unclaimed Amount
- h) KYC Updation
- I) Revalidation of IDCW/Redemption cheque
- j) Updation/Correction of PAN
- k) Nominee Updation
- I) FATCA Updation
- In case there is more than one holder in the folio then the form needs to be signed as per the mode of holding.
- In case of Change of Mode of Operation/Nominee Updation / Nominee OPT OUT all the unit holders need to mandatorily sign on the NCT form in order to have consent of all the unit holders.
- 4. In case of Updation of PAN self attested copy of the PAN Card needs to be submitted.
- In case of Updation of KYC copy of the KYC acknowledgment issued by CVL / KRA needs to be submitted.
- 6. Documents to be submitted for the registration of Power of Attorney
 - a) Copy of Power of Attorney on Rs. 100/- stamp paper, duly signed by all the unitholder(s) and the Power of Attorney Holder, and Original attestation by Notary public \ Gazetted officer.

b) In case of the POA holder being a company, the POA holder to provide the list of its Authorized signatories, with their signatures duly attested by the POA holder company.

c) Pan and KYC of the POA holder

- 7. If the investor has an existing POA registered in the folio and wishes to change the same then he has to fill in the details under both Cancellation & Registration of POA.
- In case the investor wishes to change the Income Distribution cum capital withdrawal Option for multiple schemes in the folio then seperate NCT forms need to be filled for each scheme.

9. Communications to the investor

If the investor(s) has /have provided his/their email address in the application form or any subsequent communication in any of the folio belonging to the investor(s), NIMF /AMC reserves the right to use Electronic Mail (email) as the default mode to send various communication which includes account statements for transactions done by the investor(s).

The investor(s) may request for a physical account statement by writing or calling NIMF's Investor Service center/Registrar & Transfer Agent. In case of specific request received from the investor(s), NIMF shall endeavor to provide the account statement to the investor(s) within 5 working days from the receipt of such request. NIMF shall comply with SEBI Circular No IMD/CIR/12/80083/2006 dated November 20,2006 with respect to dispatch of Account Statement.

10 Investors may submit the duly completed application forms along with the requisite documents at any of the Designated Investor Service Centres. The addresses of the Designated Investor Service Centres are available on the website https://mf.nipponindiaim.com

11. Permanent Account Number (PAN)

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) irrespective of the amount of purchase. *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, signing on behalf of the minor, as the case may be. In order to verify that the PAN of the applicants (in case of application in joint names, each of the applicants) has been duly and correctly quoted therein, the applicants shall attach along with the original PAN Card. The original PAN Card duly self-certified along with the original PAN Card. The original PAN Card will be returned immediately across the counter after verification *includes fresh/ additional purchase, Systematic Investment. Micro SIP & Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission however they are required to mandatorily submit KYC Acknowledgment copy to Nippon India Mutual Fund. Applications not complying with the above requirement may not be accepted/processed. Additionally, in the event of any Application Form being subsequently rejected for mismatch / non-verification of applicant's PAN details with the details on the website of the Income Tax Department, the investment transaction will be cancelled and the amount may be

Please contact any of the Investor Service Centres/ KFinTech/ Distributors or visit our website https://mf.nipponindiaim.com for further details.

12. Prevention of Money Laundering and Know Your Client (KYC)

In order to reduce hardship and help investors dealing with SEBI intermediaries, SEBI issued three circulars – MIRSD/SE/cir-21/2011 dated October 05, 2011, MIRSD/Cir-23/2011 dated December 02, 2011 and MIRSD/Cir-26/2011 dated December 23, 2011 informing SEBI registered intermediaries as mentioned therein to follow, with effect from January 01, 2012, a uniform KYC compliance procedure for all the investors dealing with them on or after that date. SEBI also issued KYC Registration Agency ("KRA") Regulations 2011 and the guidelines in pursuance of the said Regulations and for In-Person Verification ("IPV").

(i) Requirement for the existing investors in mutual funds (upto December 31, 2011): For the existing investors in mutual funds who have already complied with the KYC requirement (defined for the purpose of this addendum as KYC compliant) and h a v e the KYC compliance letter issued to them by CDSL Ventures Limited are exempt from following the new KYC procedure effective January 01, 2012 for the purpose of making additional investment with any SEBI registered mutual fund. If, however, the KYC compliant investors would like to deal with any SEBI registered intermediary other than mutual funds, they will have to follow the new KYC

Nippon india Mutual Fund

compliance procedure

(ii) Requirement for the new investors in mutual funds (From January 1, 2012) : With effect from January 01, 2012, all investors other than KYC compliant investors as defined above are required to follow the new KYC compliance procedure as mentioned below while making any investing with the Fund:

 Provide the complete details in the KYC application form along with the required documents (for individual investors or nonindividual investors as appropriate). The said form is available on NIMF's website i.e. https://mf.nipponindiaim.com or on the website of Association of Mutual Funds In India i.e. www.amfiindia.com or on the website of any authorised KRA's.

 KYC application and necessary document should either come along with financial transaction or when the client chooses to trade / invest / deal through the Intermediary and an account is opened in the schemes of NIMF, the investor is required to submit, in person, the completed KYC application form along with all the necessary documents as mentioned in the KYC application form in any of the offices of the distributors (details provided in the following note) or Registrar and Transfer Agent of the NIMF / NAM i.e. KFin Technologies Limited (Formerly KFin Technologies Private Limited) and the NIMF;

In line with SEBI circular MIRSD/Cir-26/2011 dated December 23, 2011, it is mandatory for SEBI registered intermediaries to carry out "In-Person Verification" ("IPV") of any investor dealing with a SEBI registered intermediary for investments in a mutual fund, the Asset Management Companies, Registrar & Transfer Agent and distributors who comply with the certification process of National Institute of Securities Market (NISM) or Association of Mutual Funds in India (AMFI) and have undergone the process of "Know Your Distributor (KYD)" are authorised to carry out the IPV. However, in case of applications received by the mutual funds directly from the clients (i.e. not through any distributor), they may also rely upon the IPV performed by the scheduled commercial banks. Unless the IPV process is completed, the intermediary will not be able to process the KYC and obtain a temporary acknowledgment for submission of all the documents. Hence the investor will not be permitted to make any investment in the Fund;

 Once all the documents are verified by a KRA, they will send the investor a letter within 10 working days from the date of receipt of necessary documents by them f r o m the Fund or its Registrar and Transfer Agent informing the investor either about compliance by the investor of the new KYC compliance procedure ("final acknowledgment") or any deficiency in submission of details or documents.

• On the basis of the temporary acknowledgement or the final acknowledgement the investor would be eligible to deal with any of the SEBI intermediaries as mentioned in the above mentioned SEBI circulars.

• KRA will send confirmation to investors within 10 days of document receipt form Intermediary All investors (individual and non- individual) are required for KYC compliance. However, applicants should note that minors cannot apply for KYC compliance and any investment in the name of minors should be through a Guardian, who should be KYC compliant for the purpose of investing with a Mutual Fund. Also applicants/ unit holders intending, to apply for units currently holding units and operating their Mutual Fund folios through a Power of Attorney (PoA) must ensure that the issue of PoA and the holder of the PoA must mention their KYC compliance status at the time of investment. PoA holders are not permitted to apply for KYC compliance on behalf of the issuer of the PoA, Separate procedures are prescribed for change in name, address, and other KYC related details, should the applicant desire to change such information, POS will extend the services of effecting such changes.

13. Consolidation of Folios

- Folios can be consolidated only if names of the all unit holders (and the pattern of holding), tax status, nomination and mode of operation (single/ joint/ either or survivor) are same in all source folios
- All joint holders must sign on consolidation requests irrespective of the mode of operation (single/joint/either or survivor) in the source folios.
- 3. Folios once consolidated cannot be separated.
- 4. Consolidation is effected at the folio level and not at the scheme level.
- 14. Contact Details:

16.

Applicants should provide contact information such as email address, mobile number and other telephone numbers. The fund sends transaction information and alerts via email and SMS, which will assist them keep track of the activities in the folio. The investors should provide primary account holder.s own email ID and mobile number while providing the contact details.

Revalidation Of Idcw/ Redemption Cheque - Mandatory Enclosure/s

Please submit any one of the following Documents in case of change in bank details

- A cancelled original cheque leaf/ Self attested copy of cancelled cheque
- Bank statement or Latest Passbook (Having entries not more than 3 months old)
- Bankletter
- If a cheque is being submitted, account number and name of the first unit holder should be printed on the face of the cheque
- 2. The document being submitted should clearly evidence the bank name, account number and name of all account holders.
- 3. In the event of a request for change in bank account mandate being invalid/ incomplete/ not satisfaction in any respect/ or not meeting any requirements to the satisfaction of the AMC/ Mutual Fund, the request for such change may not be processed. Redemptions/ IDCW payments, if any, will be processed and paid to the last registered bank account information.
- AMC/ Mutual Fund will not be liable in case the redemption/ IDCW proceeds are credited to existing bank mandate account upon rejection of change of bank mandate request.
- **Birth Date**: Date of Birth of the minor is mandatory while opening the account /folio. In case the investment is done on behalf of the minor the relationship/status of the guardian as father, mother or legal guardian and Date of birth of the minor shall be specified in the application form and supporting document such as PAN, birth certificate, passport copy or any other govt issued documents).

(To be filled by the Investor)

Commercial Transaction Form / 01st Nov 2023/ Ver

Non

Registered Office Address: 4th Floor, Tower A, Peninsula Business Park, Ganapatrao Kadam Marg, Lower Parel (W), Mumbai - 400 013.