

Request form for change of Tax Status



SUNDARAM MUTUAL
— Sundaram Finance Group —

1. Unit Holder Details												
Folio Number												
Name of Sole/First Unit Holder (Name as per PAN card)*				FIRST			MIDDLE			LAST		
PAN*/DOB*												
2. Change in Tax Status [Please ✓]				☐ RI to NRI-Non Repatriable			☐ NRI-Repatriable to RI			☐ NRI-Non Repatriable to RI		

3. Overseas Address (in case of NRIs/FIIs) (Mandatory)												

4. To Update Bank Details (Refer Instruction 5) 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						
IFSC/RTGS Code*												

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

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

5. Go Green Services (Save The Future): Please provide Contact Details of First / Sole Applicant												
E-Mail												
STD			Telephone			Mobile						

*Please tick the Family Code for the Mobile Number and Email ID provided

FMobile: ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian

Email: ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian

Default Communication mode is E-mail only, if you wish to receive following document(s) via physical mode: Please tick (✓) ☐ Annual Report ☐ Other Statutory Information

***Mandatory Fields**

6. Mandatory Documents to be submitted												
☐ Self Attested KYC Letter ☐ NRO / SB a/c cancelled cheque leaf / Bank passbook / Bank a/c statement wherein the bank account number and mutual fund first holder name are printed. ☐ FATCA / Additional KYC ☐ Proof of existing bank details												

Please see FATCA & KYC form on the reverse side.

Note: Please produce originals for verification, if copies are not attested by Notary/Gazetted Officers/Bank Managers/Indian Embassy/Consulate General. The Fund and the RTA reserve a right to call the customer for any additional documents or in-person verification (refer point 7) and keeps this request pending.

7. IPV Section (For office Use) (In case the Fund House/R&T feels the need for IPV as an additional verification procedure)												
☐ Verification with PAN Card/Photo Identification Proof PAN Card/Photo ☐ Signed in official's presence ☐ Sign matches with signature on Bank attestation		Name:..... Designation:..... Organization:..... Employee No:..... Location:..... Date of IPV:.....		Official signature with Company Seal								

8. Declaration and Signatures (as existing in records):												
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I/we request Sundaram Mutual Fund (the fund) to update new mode of holding and/or tax status and bank details (wherever applicable) in the folio/s and various records as per details mentioned above. I/we hereby agree that new mode of holding and/or tax status and/or bank details will be valid and effective only after the changes are updated and a confirmation is received by me/us. After the new mode of holding and/or tax status updation any requests with the previous mode of holding and/or tax status will not be honored by the fund.

Sole/First Holder				Second Holder				Third Holder				
To be signed as per Mode of Holding												

Request Date..... Place.....

Acknowledgement (To be filled in by the investor)								Sundaram Mutual Fund				
Received, subject to verification, request for change of tax status.												
Folio No:								Time Stamp & Signature				

Contact No. (India) 1860 425 7237 +91 44 2831 0301 (NRI)

E-mail customerservices@sundarammutual.com

KYC details (Mandatory) (refer instruction 3) ☐ Individual ☐ Non-Individual (Please attach mandatory FATCA-CRS Annexure for Entities including UBO)

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
☐ FI/Sub account of FI
☐ Fund of Funds in India
☐ QFI
☐ Others..... (please specify)

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)

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
 |D|M|Y|Y|Y|Y| (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.....

PEP Status
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

FATCA-CRS DETAILS **For Individuals & HUF (Mandatory)** **Non Individual investors should mandatorily fill separate FATCA-CRS Annexure**

The below information is required for all applicant(s) / guardian / PoA holder

Category	First Applicant/Guardian	Second Applicant	Third Applicant
1. Are you a Tax Resident of Country other than India?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
2. Is your Country of Birth/ citizenship other than India?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
3. Is your Residence address / Mailing address / Telephone No. other than in India?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
4. Is the PoA holder / person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No

If you have answered YES to any of above, please provide the below details

Country of Tax Residence			
Nationality			
Tax Identification Number ^{\$} or Reason for not providing TIN			
Identification Type (TIN or Other, please specify)			
Residence address for tax purposes (include City, State, Country & Pin code)			
Address Type	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office
City of birth			
Country of birth			

\$ In case any of applicant being resident/ tax payer in more than one country, provide tax identification number for each such country separately.

FATCA-CRS Instructions	To be signed as per Mode of Holding	
Details under FATCA-CRS/Foreign Tax Laws: 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 certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. 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. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s). If you are a US citizen or resident or greencard holder, please include United States in the Country of Tax Residence field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. \$ 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 with supporting documents and attach this to the form.	 Signature of First / Sole Applicant / Guardian  Signature of Second Applicant  Signature of Third Applicant	