

## Investment Account Opening Form

(Form to be filled in BLOCK Letters)

I/We hereby submit my/our application to open an Investment Account to transact in Mutual Funds.

Name of Organisation (Not applicable to individual applicants)

Customer Relationship Number

Name of Individual Applicants/ Authorised Signatories*	Relationship of guardian in case A/c holder is minor	PAN	CRN**	KIN No.
1.				
2.				
3.				

\* Attach separate sheet where necessary.

\*\* If not available, please fill Customer Relationship Form for each authorised signatory/applicant, representative/guardian of applicant.

**Mode of Operation** ☐ Singly ☐ Jointly ☐ Either or Survivor ☐ Others: \_\_\_\_\_

### Status

- ☐ Resident      ☐ Non Resident Repatriable      ☐ Non Resident Non Repatriable      ☐ HUF      ☐ Proprietorship  
☐ Private Limited      ☐ Public Limited      ☐ Partnership Company      ☐ Body Corporate  
☐ Registered Club/Association/Society/Trust      ☐ On behalf of minor      ☐ Others (Please specify) \_\_\_\_\_

**Nomination Details** (Not applicable to Non Individuals)

I/We \_\_\_\_\_ do hereby nominate the person in respect of units held by me/us in this investment account.

Name of Nominee \_\_\_\_\_

Address of Nominee \_\_\_\_\_

City \_\_\_\_\_ Pin Code \_\_\_\_\_ PAN No of Nominee: \_\_\_\_\_

Date of Birth (in case nominee is a minor)    Date : 

D	D	M	M	Y	Y	Y	Y
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Guardian name \_\_\_\_\_ Relationship with Applicant \_\_\_\_\_

☐ No nomination for Investment Account

The Bank, through its authorized representative had explained to me the advantages of the nomination facility as per the extant guidelines of RBI. However, I hereby confirm that I do not wish to exercise the right of nomination in respect of units subscribed/purchased by me through Investment Account No. I understand the risks and consequences of my failure to give nomination and am fully aware of the hardships my legal heirs would face in the event of my death without nomination registered in your Bank records.

### Declarations/Terms & Conditions

1. The particulars contained herein shall be valid for all accounts opened by me/us or to be opened by me/us hereafter either singly or with other(s) and/or by me/us in any representative capacity with Kotak Mahindra Bank Ltd. (Bank) unless informed to you otherwise. I/We have read and understood the Terms and Conditions governing the opening of an investment account with the Bank and those relating to various Services including but not limited to (a) Phone Banking (b) Net Banking (c) Alerts Service. 2. I/We understand that the Bank may at its absolute discretion, discontinue any of the Services completely or partially without any notice to me/us. I/We agree that the Bank may debit my account for service charges as applicable from time to time. 3. I/We understand that investment products are not Bank objects or other obligations of or guaranteed or insured by the Bank or their affiliates. They are subject to risk and possible loss of principal. Past Performance is not indicative of future performance. 4. I/We hereby declare the above information is true to the best of our knowledge. I/We shall advise the Bank immediately in case of any change in the above details and information given by me/us. I/We further agree that any false/misleading information given by me/us or suppression of any material fact will render my/our account liable for termination. I/We agree to indemnify the Bank against any fraud or any loss or damage suffered by the Bank due to my providing of any incorrect particulars and/or failure on my part to communicate the change/ alteration in my/our aforesaid particulars. 5. I/We understand that to serve me/us better, I/We hereby consent to Bank to sharing the information, if required, about my/our account/s with the Bank with its group companies and vendors. 6. I/We agree and understand that the Bank's charges/fees are in addition to those levied by the mutual fund company as communicated in Scheme Information Document (SID) Statement of Additional Information (SAI)/Key Information Memorandum (KIM). I/We understand that the SID should be read in conjunction with the SAI at all times and not in isolation. 7. I/We shall from time to time be required to acknowledge receipt of the current Schedule of Commissions paid by the AMC/s to the Bank which may be varied from time to time without any notice to me/us and the updated Schedule of Commission shall be available on the Bank's website for reference. 8. The Bank will not be liable for any loss, damage, cost, charges or expenses directly or indirectly caused by reason of any defects or imperfection or mechanical or other failure with relation to computer, cable, telex, telephone or postal system and or due to reasons beyond the reasonable control of the Bank. 9. The Bank may recommend products to me/us and may provide investments advice and conduct risk based assessments of transactions in my/our account from time to time however the final investment decision rests with me/us. 10. I/We am/are aware that my/our investments may be negatively affected by foreign exchange risk if I/We hold funds that invest in assets denominated in foreign currencies. 11. I/We understand that nomination will be as per the terms and conditions of the respective mutual fund schemes more specifically stated in its offer document. 12. Any matter/dispute with respect to nomination and deceased claims with respect to mutual fund units shall be settled by me/us directly with concerned Asset Management Company/Mutual Fund without any reference to the Bank. 13. I/We understand that the nomination can be made only by individuals applying for holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu undivided family, holder of Power of Attorney cannot nominate.

I/We am/are a customer/customer(s) of Kotak Mahindra Bank Limited ("Kotak Bank") Maintaining an Account with Kotak Bank I/We have availed/intend to avail of various products/services/investments from time to time ("investments") in my/our name from Kotak Mahindra Bank Limited or from various other Kotak group Companies including the companies whose products/services are referred/distributed by Kotak Bank or its group companies (collectively referred to as 'entities'). I/We may be sent details with respect to various products/services offered by such entities from time to time. I/We would, in respect of the investment made/to be made, like to receive from you a consolidated periodic statement of the investments made by me/us (whether in single or joint names) with the said entities and transactions executed by me/us in respect thereof.

Further, I/We would like to have a single contact point for received and forwarding my/our queries in respect of such investments/transactions with the said entities for ultimate resolution.

For the above purpose, I/we require Kotak Bank to obtain information from and/or share information with the said entities from time to time.

I/We do hereby authorize and accord my/our consent to Kotak Bank to issue a consolidated physical/electronic statement in respect of all the investments made by me/us (whether in single or joint names), whether currently or in the future, with any of the said entities and transactions executed by me/us in respect thereof.

I/We do hereby further authorize Kotak Bank and accord my/our consent to Kotak Bank approaching the said entities, in such manner as may be deemed fit by Kotak Bank, for obtaining the following information in respect of mv/our investments.

- Details of my/our investments with the said entities from time to time, on a periodic basis.
- Details of the transactions executed by me/us in respect of the investments.

I/We do hereby further authorize Kotak Bank to provide me/us the information on various products/schemes and/or services offered/to be offered by the said entities from time to time.

I/We hereby state that this authority shall continue to be valid and subsisting until the same is countermanded by me/us in writing and delivered to you.

I/We understand that the above service is being provided by Kotak Bank pursuant to my/our request. I/We understand that Kotak Bank may at its absolute discretion, discontinue the above service completely or partially without any notice to me/us.

I/We state that I/we shall not hold Kotak Bank liable for account of any loss or harm that may be suffered by me/us on account of the delay or failure on the part of Kotak Bank to act on the authority granted hereunder or for any discrepancies or mistakes in the information provided to or by Kotak Bank in respect of my/our investments in the said entities. I/We state that I/we shall not hold Kotak Bank for any issues, grievances or complaint that I/we may have in respect of my/our investments with the said entities. I/We understand that while this consent is being given now, the facility will be made available over a period of time.

I/We agree to execute such further documents and furnish such information as may be required by Kotak for effectually carrying out this mandate/the activity as set out herein.

### Mandate for Investment Accounts

1. I/We hereby authorize you to transfer funds in any form and manner including but not limited to by way of debit/credit of my/our account(s), and issue pay-orders/demand-drafts/bankers cheques, from my/our account for the purchase, redemption, switch, receipt of dividends or any such acts for Mutual Fund unit in pursuance of the instruction given by me/us or my Attorney from time to time. Any tax implication arising out of any transactions entered in to pursuant to these terms and conditions would be as per the provisions of the Income Tax Act, 1961, or any modification or re-enactment thereof. I/We agree and declare that any and all tax liability will be my/our sole responsibility. 2. I/We hereby state that all the acts, deeds and things done by you based on such instruction shall be binding on me/us. This mandate by me/us is to be adhered to by the Bank in respect of all actions permitted by the RBI and/or relevant regulations as applicable from time to time.

**Signature(s)**  
[with stamp of  
organization—for  
Non Individual]

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1st Applicant/Signatory

2nd Applicant/Signatory

3rd Applicant/Signatory