SAMCO MUTUAL FUND

Sponsor: Samco Securities Limited
Trustee Company: Samco Trustee Private Limited
Investment Manager: Samco Asset Management Private Limited

Samco Mutual Fund
1003 – A, Naman Midtown, Senapati Bapat Marg, Prabhadevi (W), Mumbai - 400 013

APPLICATION FORM

Please read instructions before filling this form
All sections to be completed in ENGLISH in BLACK / BLUE Coloured Ink and in BLOCK LETTERS.

1. Distributor Information

Application No.

Distributor Code	Sub-Broker Code	Internal Sub-Broker Code	EUIN*	RIA CODE^
	ARN -	INTERNAL CODE		

*Investors should mention the EUIN of the person who has advised the investor. If left blank, the fund will assume following declaration by the investor "I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker".
Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor. For Direct investments, please mention 'Direct' in the column 'Distributor Code'.
^I/We, have invested in the below mentioned scheme of Samco Mutual Fund under the Direct Plan. I/We hereby give my/our consent to share/provide the transaction data feed / portfolio holdings / NAV etc. in respect of this particular transaction, to the SEBI Registered Investment Advisor (RIA) bearing the above mentioned registration number.

Signature (s)

SOLE / FIRST APPLICANT | SECOND APPLICANT | THIRD APPLICANT

Mode of Holding

(In case of Demat Purchase Mode of Holding should be same as in Demat Account) ☐ Single ☐ Joint ☐ Anyone or Survivor (Default)

1. Applicant Information (Mandatory) to be filled in block letters

(Refer Instruction No.II)

Folio No. (For Existing unit holders) **Gender** ☐ Male ☐ Female ☐ Transgender

Name of Sole / 1st Applicant Mr. / Ms. / M/s.

PAN **CKYC No.** **Date of Birth** D D M M Y Y Y Y

Mailing address

City **State** **Pin code**

Mobile No. **Email ID**

The Email ID belongs to (Mandatory Please ✓) ☐ Self ☐ Spouse ☐ Dependents ☐ POA ☐ Custodian ☐ Guardian
The Mobile No. belongs to (Mandatory Please ✓) ☐ Self ☐ Spouse ☐ Dependents ☐ POA ☐ Custodian ☐ Guardian

Please note: In the event that the mobile number or the email id provided herein above does not appear to be that of the unit holder's, then the AMC shall send suitable communication in this regard to the unit holder.

LEI Code **Valid upto** D D M M Y Y Y Y

(Legal Entity Identifier Number is Mandatory for transaction value of INR 50 crore and above for Non-Individual investors. Refer instruction no. XXII)

Second Applicant

Mr. / Ms. **Date of Birth** D D M M Y Y Y Y

PAN **CKYC No.** **Gender** ☐ Male ☐ Female ☐ Transgender

Mobile No. **Email ID**

The Email ID belongs to (Mandatory Please ✓) ☐ Self ☐ Spouse ☐ Dependents ☐ POA ☐ Custodian ☐ Guardian
The Mobile No. belongs to (Mandatory Please ✓) ☐ Self ☐ Spouse ☐ Dependents ☐ POA ☐ Custodian ☐ Guardian

Third Applicant

Mr. / Ms. **Date of Birth** D D M M Y Y Y Y

PAN **CKYC No.** **Gender** ☐ Male ☐ Female ☐ Transgender

Mobile No. **Email ID**

The Email ID belongs to (Mandatory Please ✓) ☐ Self ☐ Spouse ☐ Dependents ☐ POA ☐ Custodian ☐ Guardian
The Mobile No. belongs to (Mandatory Please ✓) ☐ Self ☐ Spouse ☐ Dependents ☐ POA ☐ Custodian ☐ Guardian

---

SAMCO MUTUAL FUND

ACKNOWLEDGEMENT SLIP

(To be filled by the investor)

Received from: Mr. / Ms. / M/s **Application No.**

an application for units of Samco Plan: ☐ Regular ☐ Direct Option: ☐ Growth ☐ IDCW

Sub Option: ☐ Payout of IDCW ☐ Reinvestment of IDCW ☐ Transfer of IDCW (Specify in Target Scheme)

Target Scheme of Samco Plan: ☐ Regular ☐ Direct Option: ☐ Growth

vide Cheque No **Dated** D D M M Y Y Y Y **Amount (₹)**

Drawn on Bank **Branch**

Collection Center's Stamp & Receipt Date and Time

Please note: All purchases are subject to realization of cheques and as per applicable load structure (please refer Scheme Information Document)

Guardian Details (In case First / Sole Applicant is minor) / **Contact Person- Designation / POA Holder** (In case of Non- Individual Investors)

Mr. / Ms. _____ **Date of Birth** D D M M Y Y Y Y

PAN _____ **CKYC No.** _____ **Gender** ☐ Male ☐ Female ☐ Transgender

Mobile No. _____ **Email ID** _____

Relationship with Minor/Designation _____

The Email ID belongs to (Mandatory Please ✓) ☐ Self ☐ Spouse ☐ Dependents ☐ POA ☐ Custodian ☐ Guardian

The Mobile No. belongs to (Mandatory Please ✓) ☐ Self ☐ Spouse ☐ Dependents ☐ POA ☐ Custodian ☐ Guardian

Date of Birth Proof for minors (Any One)

☐ Birth Certificate ☐ Marksheet (HSC/ICSE/CBSE) ☐ School Leaving Certificate ☐ Passport ☐ Others _____

Demat Account Details

☐ NSDL ☐ CDSL

☐ Physical Mode ☐ Demat Mode (Mandatory to provide the demat details in case mode of holding tick as demat mode)

NSDL I N _____ **Beneficiary A/C No.** _____

CDSL _____

Please Note: Demat Account Details of First / Sole Applicant (Name should be as per demat account) (Note: Please attach copy of Client Master List.)

Tax Status (Applicable for First / Sole Applicant)

☐ Resident Individual ☐ Foreign National ☐ Public Limited Company ☐ Government Body ☐ AOP / BOI ☐ Defense Establishment ☐ On behalf of Minor

☐ Sole Proprietorship ☐ Private Limited Company ☐ Financial Institution ☐ Trust / Society / NGO ☐ Other _____

☐ HUF ☐ Partnership Firm ☐ Body Corporate ☐ FII ☐ Non Profit Organization / Charities ☐ NRI ☐ LLP ☐ Bank ☐ Foreign Portfolio Investor ☐ QFI

Overseas Address

Address for Communication (for NRI applicants) ☐ Indian ☐ Overseas

Address (Mandatory for NRI/FII applicant*) _____

_____ **Country** _____ **Zip Code** _____

Email Communication (Please tick ✓)

Default communication mode is through 'email'. If email address is not provided then please 'Opt-in' to receive below documents in physical copy by ticking the option below:

☐ Annual Report ☐ Abridged Annual Report ☐ Other Statutory Information

2. KYC Details (Mandatory - Refer Instruction No XI for details)

Occupation (Please tick ✓)

First Applicant/ Guardian: ☐ Business ☐ Service ☐ Professional ☐ Agriculturist ☐ Housewife ☐ Student ☐ Defence ☐ Bureaucrat ☐ Forex Dealer ☐ Unlisted Company ☐ Body Corporate ☐ Listed Company ☐ Others _____

Second Applicant: ☐ Business ☐ Service ☐ Professional ☐ Agriculturist ☐ Housewife ☐ Student ☐ Defence ☐ Bureaucrat ☐ Forex Dealer ☐ Unlisted Company ☐ Body Corporate ☐ Listed Company ☐ Others _____

Third Applicant: ☐ Business ☐ Service ☐ Professional ☐ Agriculturist ☐ Housewife ☐ Student ☐ Defence ☐ Bureaucrat ☐ Forex Dealer ☐ Unlisted Company ☐ Body Corporate ☐ Listed Company ☐ Others _____

Gross Annual Income (Please tick ✓)

First Applicant / Non-individuals: ☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lac ☐ >25 Lacs - 1 Crore ☐ > 1 Crore

OR Net worth (Mandatory for Non - Individuals) ₹ _____ as on D D M M Y Y Y Y (Not older than 1 year)

Second Applicant: ☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lac ☐ >25 Lacs - 1 Crore ☐ > 1 Crore

as on D D M M Y Y Y Y (Not older than 1 year)

Third Applicant: ☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lac ☐ >25 Lacs - 1 Crore ☐ > 1 Crore

as on D D M M Y Y Y Y (Not older than 1 year)

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

Documents	Individual	HUF	Companies / LLP	Societies	Partnership Firms	Investment through POA	Trusts	NRI	FIIs $	PIO	FPI#
Copy of PAN Card	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
KYC Compliance	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Declaration under FATCA	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Resolution/ Authorization to invest			✓	✓	✓		✓		✓		✓
List of authorized signatories with specimen signatures			✓	✓	✓	✓	✓		✓		✓
Trust Deed							✓				
Ultimate Beneficial Ownership (UBO)		✓	✓	✓	✓		✓		✓		✓
Bye-laws				✓							
Partnership Deed					✓						
Certificate of Registration									✓		✓
Notarized POA						✓					
PIO Card										✓	
Foreign Inward Remittance Certificate										✓	

$-For FII's copy of SEBI registration certificate should be provided. # Certificate of registration granted by designated depository participants on behalf of SEBI.