

## **Investor Onboarding Note**

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**Fund overview:**

Name of the fund	Sundaram India Mid Cap – GIFT
Type of scheme	Open Ended Retail Scheme
Investment Objective	The primary investment objective of the Fund is to seek to provide long term capital growth by investing predominantly in the units of Underlying Fund (Sundaram Mid Cap Fund). The Fund shall invest a substantial portion of its assets in the units of mutual funds in India under mid-cap category (“Underlying Funds”), which are registered with SEBI under the SEBI (Mutual Fund) Regulations, 1996 (“MF Regulations”).
Base Currency	United States Dollar (USD)
Minimum Investment	5000 USD
Additional Investment	1000 USD
Exit Load	Within 12 months from the date of allotment: 2% of the NAV Beyond 12 months but within 24 months from the date of allotment: 1% of the NAV
Who can invest	Foreign investors, NRIs
Who cannot invest	Indian Resident, Other restricted entities / individuals may be imposed by IFSCA / RBI /other relevant regulatory authorities from time to time, Overseas and NRIs from Canada and USA, FATF Grey/Black listed countries and countries sharing land border with India

### **Digital Onboarding:**

Distributor initiates a onetime request to create an user id to access digital onboarding portal

Distributor's office will receive clients' details and supporting documents.

All the supporting documents would be duly attested as per IFSCA guidelines

Digital applications are filled out and supporting documents are uploaded using the provided weblink and user id

Once submitted, application form gets triggered to Kfin for good order review

Post review, application link is sent to investors for e-sign along with Offer Document

Post e-sign, application is received by Kfin and folio number is created

Investor receives email with folio number, and bank details for remittance of funds

### **Physical Onboarding:**

Scanned images of investor application along with supporting documents is emailed to Kfin for good order review

All the supporting documents would be duly attested as per IFSCA guidelines

If application is in good order, Investor receives email with folio number, and bank details for remittance of funds

Original application forms and supporting documents are couriered to below mentioned address within 30 days.

Sundaram Asset Management Company Limited (IFSC Branch)  
Shilp Incubation Centre, Office No.SI-M-025, Unit B, First Floor, Plot 11T 3 and 11T 5,  
Block 11, GIFT SEZ, GIFT City, Gandhinagar – 382355.

### Process of verification of Officially Valid Document (OVD):

1. In case a customer is unable to produce, or it might not be possible for customer to submit original documents for verification (e.g., in situations where Regulated Entity has no physical contact with the customer, or the onboarding of customer is done through non-face to face mode); a Regulated Entity should obtain a copy of the OVD that is certified to be a ‘true copy’ and such certification may be carried out by any one of the following:
  - a. Authorised official of a bank located in a Financial Action Task Force (FATF) compliant jurisdiction with whom the individual has banking relationship;
  - b. Notary Public (outside India);
  - c. Court Magistrate (outside India);
  - d. Judge (outside India);
  - e. Certified public or professional accountant (outside India);
  - f. Lawyer (outside India);
  - g. The Embassy/Consulate General of the country of which the non-resident individual is a citizen; or

### **The person certifying the OVD should be contactable**

### Template for attestation of documents:

Company stamp

Name of the person

Designation

Employee number (where applicable)

Date

Full signature

Contact number

**Marked as “Originals sighted and Verified”**

FATF restricted countries:

**Kindly access the below link to know the contents of latest list of countries**

<https://www.fatf-gafi.org/en/countries/black-and-grey-lists.html>

**Black list**

Democratic People’s Republic of Korea	Iran	Myanmar
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**Grey List**

Algeria	Angola	Bolivia	Bulgaria
Cameroon	Haiti	Democratic Republic of Congo	Cote d’Ivoire
Kenya	Kuwait	Lao People’s Democratic Republic	Lebanon
Monaco	Namibia	Papua New Guinea	Syria
South Sudan	Nepal	Venezuela	Vietnam
	Yemen	Virgin Islands (UK)	

**Countries Sharing Land Border with India:**

Bangladesh	China	Pakistan	Nepal
Myanmar	Bhutan	Afghanistan	

## Checklist for application:

### **For Individuals, Joint holders and Minors**

- ✓ Proof of Identity
- ✓ Proof of Address (If Correspondence address and Permanent Address are different, then proof of address to be provided for both the addresses)
- ✓ Tax Identification document
- ✓ PAN card or No-PAN declaration if PAN is not issued
- ✓ Bank account proof
- ✓ FATCA CRS and PEP declaration
- ✓ Proof of Age for Minors
- ✓ Minor-Guardian relationship proof/Legal guardian document

### **ID proof (Any one)**

- ✓ Passport (Mandatory for NRI)
- ✓ Driving License
- ✓ Tax identification document having photograph
- ✓ OCI card
- ✓ National identity card issued by Government of foreign jurisdictions or agencies authorized by them capturing photograph, name and date of birth

### **Address proof (Any one)**

- ✓ Passport (Mandatory for NRI)
- ✓ Driving License
- ✓ National identity card issued by Government of foreign jurisdictions or agencies authorized by them capturing photograph, name, address and date of birth
- ✓ Utility bill, not older than 2 months (only in case of low-risk investor)
- ✓ Bank account statement/ bank account statement of the foreign bank not older than 2 months (only in case of low risk investors)
- ✓ In case of foreign national the documents issued by the Government departments of foreign jurisdictions or letter issued by the Foreign Embassy or Mission in India shall be accepted as proof of address.

### **Bank account proof (Any one)**

- ✓ Bank statement not more than two months old
- ✓ Personalized cheque copy bearing the name of unit holder
- ✓ Bank letter with account details.

**Note: All supporting documents are required to be verified as per IFSC guidelines**

### Checklist for non-individuals:

- ✓ Bank account proof
- ✓ Copy of certificate of incorporation/registration
- ✓ Copy of Board Resolution to invest in the Fund and power of attorney granted to its managers, officers or employees, or power of attorney holders, as the case may, who are authorized to transact on behalf of the company.
- ✓ Officially valid documents of such managers, officers or employees, or power of attorney holders, as the case may, who are authorized to transact on behalf of the company
- ✓ Copy of Authorised Signatory list with name and specimen signatures
- ✓ Copy of MOA/AOA/Trust Deed
- ✓ Copy of Tax Identification document
- ✓ Entity Address proof, Principal and Registered address. Provide both if its different
- ✓ Additional KYC information, FATCA CRS & UBO declaration
- ✓ Proof of Identity and Proof of Address of UBO
- ✓ Proof of Identity and Proof of Address of all authorized signatories
- ✓ Latest Share holding pattern
- ✓ Copy of Audited Balance Sheet for last 2 years
- ✓ List of Directors
- ✓ Proof of Identity and Proof of Address of all Directors

**Note:**

**All documents to be submitted as self-attested true copies and signed by authorized signatories**

**All supporting documents are required to be verified as per IFSC guidelines**

### Bank Details for transfer of funds

- Transfer of funds to be done in USD currency
- Any applicable bank charges for transfer of funds are to be borne by the investor

Account Name	Sundaram India MidCap-Gift-Collection Account
Account Number	8052201253
Bank Name	Kotak Mahindra Bank Ltd
Bank Swift Code	KKBKINB2XXX
Bank Address	IFSC Banking Unit, 10th Floor, Hiranandani Signature, Block No 13, Zone-1, Gift SEZ, Gift City, Gandhinagar - 382355, Gujarat India
IFSC Code	GIFT0KKBK01
Remittance Purpose	Subscription of Units of Sundaram India Mid Cap - GIFT
Beneficiary Address	Shilp Incubation Centre, Office No.SI-M-025, Unit B, First Floor, Plot 11T 3 and 11T 5, Block 11, GIFT SEZ, GIFT City, Gandhinagar – 382355
<b>Correspondent Bank</b>	
Swift Code	KKBKINB2XXX
Correspondent Bank	Citi Bank Newyork
BIC	CITIUS33XXX
Beneficiary Account number	36433828
Name	Kotak Mahindra Bank Limited