

## Investment Account Opening Form

Date \_\_\_\_\_

I/We request you to open an Investment Account in my/our name as per the following details.

**Name of Organisation** (Not applicable for individual applicants)

**Customer Relationship Number**


**Name(s) of individual Applicant(s)/Authorised Signatories\* Relationship of guardian in case account holder is minor**
**Customer Relationship Number\*\***
**Channel Access Requests**  
**Phone Banking#**      **Net Banking#**

1. _____	_____	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. _____	_____	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. _____	_____	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

\* Attach separate sheet where necessary.

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

§ Net Banking and Phone Banking access, if applied for, is applicable for all Investment Accounts existing or to be opened in future.

# Transaction rights are subject to the customer executing and granting Power of Attorney /Mandate in favour of the Bank, as required from time to time.

**Mode of Operation**     Singly     Either or survivor     Jointly     Others, please specify \_\_\_\_\_

**Status**

- |  |   |   |  |   |
|--|---|---|--|---|
| <input type="checkbox"/> Resident        | <input type="checkbox"/> Non Resident Repatriable | <input type="checkbox"/> Non Resident Non Repatriable | <input type="checkbox"/> HUF                 | <input type="checkbox"/> Proprietorship     |
| <input type="checkbox"/> Private Limited | <input type="checkbox"/> Public Limited           | <input type="checkbox"/> Partnership Company          | <input type="checkbox"/> Body Corporate      | <input type="checkbox"/> Registered Society |
| <input type="checkbox"/> Trust           | <input type="checkbox"/> AOP                      | <input type="checkbox"/> BOI                          | <input type="checkbox"/> One behalf of Minor | <input type="checkbox"/> Others             |

**Charges applicable on Mutual Fund Transactions**
**Lumpsum Transactions**

Customer Category	Transactions through Kotak Investment Account	Transactions through AMC application forms	Investment Account Maintenance Charges
Privy Platinum	0.75%	0.90%	Nil
Privy Gold	0.90%	1.10%	Nil
Privy League (Others)	1.10%	1.25%	Nil
All other categories	1.25%	1.50%	Rs. 100 per quarter* or transaction charges which ever is higher
Transactions through Net Banking for all customers	Nil for transactions less than or equal to Rs. 25000		

**MF SIP or MF SI transactions**

Customer Category	Transactions through Kotak Investment Account	Transactions through AMC application forms
MF SIP/ MF SI of any value**	Nil	Rs. 200
MF SIP/MF SI Cancellation	Rs. 200 if cancelled within 3 months of setup	NA
MF SIP/MF SI Failure	Rs. 100 per failure	NA

Minimum transaction charges applicable for lumpsum transactions will be Rs. 25/-

Charges are applicable on purchases and purchase type transactions in equity mutual fund schemes and are exclusive of Service Tax and Education Cess

Transactions through Kotak Investment Account can happen through Net Banking, Phone Banking and through the Branch by signing a single form (Mutual Fund Transaction Request Form)

\*\*\*MF SIP/MF SI has to be for a minimum duration of 12 months irrespective of the frequency. Else a Setup charge of Rs. 200 will be applicable

\* Applicable with effect from quarter ending December 2009

The charges will be debited from your Bank account with Kotak Mahindra Bank. In case you have multiple bank accounts with us, please specify from which account you want the charges to be debited.

Please use a separate form for each Investment Account in case you want different accounts to be debited for each Investment Account

The aforementioned tariff structure is subject to change at the sole discretion of Kotak Mahindra Bank Ltd.

**Declaration**

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 the Bank unless informed to you otherwise. I/We have read and understood the Terms and Conditions governing the opening of an account with Kotak Mahindra Bank Ltd. (the Bank), and those relating to various Services including but not limited to (a) ATMs (b) Phone Banking (c) Debit Card (d) Net Banking (e) Payment Gateway (f) Mobile Banking (g) Alerts Service (h) Opening of an Investment Account. 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. I/We understand that investment products are not bank objects or other obligations of or guaranteed or insured by Kotak Mahindra Bank Ltd. or their affiliates. They are subject to risk and possible loss of principal. Past Performance is not indicative of future performance. I/We hereby declare the above information is true to the best of our knowledge. I/We shall advise the Bank immediately in the manner as agreed by me/us and in the form acceptable to the Bank, in case of any change in the above details and information given by me/us.

**Mandate for Investment Accounts**

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. 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 the Organisation  
 (wherever applicable)

1st Applicant/Signatory

2nd Applicant/Signatory

3rd Applicant/Signatory

**For Bank Use Only**
**Branch Code & Name** \_\_\_\_\_

**RM code** \_\_\_\_\_

**Tracking Reference Number** \_\_\_\_\_

**Signature Verified by** \_\_\_\_\_

Checked by \_\_\_\_\_

Account Number \_\_\_\_\_

Received by \_\_\_\_\_

Entered by \_\_\_\_\_

Authorised by \_\_\_\_\_



**Instructions for filling the form**

1. In cases of investments jointly held, all the account holders have to sign the nomination form, for the registration of the nomination.
2. Nomination can be made for maximum number of three nominees. In case of multiple nominees, the percentage of allocation/share in favor of each of the nominees should be indicated against their name and such allocation/share should be in whole numbers without any decimals making a total of 100 percent.
3. In case you don't fill the percentages, the allocation between nominees would be as per the respective AMC's policy.
4. Please fill separate forms for different folios in case the nominee/s or the percentage allocation is different.
5. Please fill in all details in the forms even in case of modification.
6. In case of nomination at an Investment Account level, please note only one nominee can be nominated.

**Terms and Conditions:**

1. I/We understand that the nomination will be as per the terms and conditions of the respective mutual fund schemes more specifically stated in its offer document.
2. Nomination will be registered for Online Folios only.
3. The responsibility of registration/non registration of nomination lies solely with the Mutual Fund House and the Bank as distributor is in no way whatsoever responsible or liable for the same.
4. The nomination can be made only by individuals applying for holding units on their own behalf singly or jointly. Minor and non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate.
5. Minor(s) can be nominated and in that event, the name, address and signature of the guardian of the minor nominee(s) shall be provided by the unit holder. Nomination can also be in favour of the Central Government, State Government a local authority, any person designated by virtue of his office or a religious or charitable trust.
6. The Nominee shall not be a trust (other than a religious or charitable trust, society), body corporate, partnership firm, karta or Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange control regulations in force from time to time.
7. Nomination in respect of the units stands rescinded upon the transfer of units.
8. Transfer of units in favor of Nominee(s) shall be valid discharge by the AMC against the legal heir.
9. The cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who have made the original nomination.
10. For Nomination at an Account level, please provide only one Nominee. Any new folio created at a later date under this investment account will also have the same nominee.