

This product/service is offered/issued by Axis Bank, using certain trademarks temporarily under license from Citigroup Inc. and related group entities. Citi India is providing services in this regard.



In order to safeguard your interest, it is important that all the documents are duly completed and signed by you, prior to being handed over to the Bank/Bank Employee.

## Common Transaction Form

This form can be used for multiple investment transactions in the schemes of the same AMC/Third Party Product Provider. Kindly use separate forms for investments in schemes of different AMC.

1 <sup>st</sup> Holder's Name : _____	Date: <table border="1" style="display: inline-table; text-align: center; width: 60px;"><tr><td style="width: 15px;">D</td><td style="width: 15px;">M</td><td style="width: 15px;">M</td><td style="width: 15px;">Y</td><td style="width: 15px;">Y</td></tr></table>	D	M	M	Y	Y	Batch No.: _____
D	M	M	Y	Y			
Citibank Account No.: _____	Investment Services Account No.: _____						
Email flag : <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Guardian <input type="checkbox"/> PMS <input type="checkbox"/> Custodian <input type="checkbox"/> POA							
Mobile flag : <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Guardian <input type="checkbox"/> PMS <input type="checkbox"/> Custodian <input type="checkbox"/> POA							

### Subscription

Transaction Reference No. : \_\_\_\_\_

(For Bank Use Only)

Please debit my above mentioned Citibank Account No. (Account) towards investment amount and applicable transaction fee\*\* payable to Citibank, N.A. as per the instructions given below :

Sr.No.	Fund/Product Name	Fund Option	Investment Amount (Rs.) A	Transaction Fee (%)**	Transaction Fee Amount ** (Rs.) B	Total Amount** (Rs.) (A+B)	@### Cap Limit % (Optional)	@### Collar Limit % (Optional)	Fund Code (For Bank Use Only)
1.									
2.									
3.									
Total Amount in words :						Total			

### Redemption

Transaction Reference No. : \_\_\_\_\_

(For Bank Use Only)

Please redeem the following investment(s) and credit my above mentioned Account with the proceeds.

Fund/Product Name	Fund Option	Units	Fund Code (For Bank Use Only)

### Switch

Transaction Reference No. : \_\_\_\_\_

(For Bank Use Only)

Please switch my existing investment(s) and debit my Account for the applicable transaction fee\*\* payable to Citibank, N.A. as per the instructions given below :

Sr.No.	Switch out from				Switch in to			*Transaction Fee (%)**	@### Cap Limit % (Optional)	@### Collar Limit % (Optional)
	Fund Name	Units	Fund Option	Fund Code (For Bank Use Only)	Fund Name	Fund Option	Fund Code (For Bank Use Only)			
4.										
5.										

# Please note that the transaction fee\*\* will be charged on the amount switched in, which would be calculated on the basis of the NAV published by the Asset Management Company for the previous business day. The NAV, which is the basis for calculating the transaction fee, may vary from the NAV at which the Asset Management Company executes the order.

**The dates specific to each Asset Management Company (AMC) to register Systematic Investment Plans (SIPs), Systematic Transfer Plans (STPs) and Systematic Withdrawal Plans (SWPs) are available on the investments page on [www.citibank.co.in](http://www.citibank.co.in).**

## Axis Bank is an AMFI registered Mutual Fund Distributor

### Systematic Investment Plan (SIP) / Systematic Withdrawal Plan (SWP)

Transaction Reference No. : \_\_\_\_\_

(For Bank Use Only)

- Systematic Investment Plan - I** / We hereby request and unconditionally authorise you to make the following payments to my/our SIP, subject to sufficient funds in the said account. Please debit (subject to availability of collected funds) my/our Account for investment amount and applicable transaction fee\*\* payable to Citibank, N.A. as per the instructions given below:
- Systematic Withdrawal Plan** - Please redeem the following investments and credit my/our Account for the proceeds as per the details mentioned below:

Sr.No.	Fund Name	Fund Option	Start Date dd/mm/yy	End Date dd/mm/yy	Amount (Rs.)	Transaction Fee (%)** (Not applicable for SWP)	Transaction Fee Amount ** (Rs.) (Not applicable for SWP)	Fund Code (For Bank Use Only)
6.								
7.								

### Systematic Transfer Plan (STP)

Transaction Reference No. : \_\_\_\_\_

(For Bank Use Only)

I/We hereby request and unconditionally authorise you to execute a STP transaction subject to sufficient units in the above-mentioned Investments Services Account No. Please debit my/our Account for applicable transaction fee\*\* payable to Citibank, N.A. as per the instructions given below:

Sr.No.	Switch out fund			Switch in fund			Start Date dd/mm/yy	End Date dd/mm/yy	Transaction Fee (%)**	Transaction Fee Amount ** (Rs.)	Amount (Rs.)	Frequency (Mthly/Wkly/Others)
	Fund Name	Fund Option	Fund Code (For Bank Use Only)	Fund Name	Fund Option	Fund Code (For Bank Use Only)						
8.												
9.												

\*\* I understand/and agree that the Goods and Services Tax and any other statutory charges as notified amended/alterd/enhanced/modified by governmental authorities from time to time are applicable on the aforementioned Transaction Fee(s) and are subject to change as per relevant regulations of competent authorities.

\* It is mandatory to indicate the Cap and Collar Limit in % whole numbers (0-100) without any decimals.

<b>Signature for Transaction Execution</b>	Citibank account no. _____	Investment services account no. _____
The form should be signed after all the details are completely filled.		
Signature of 1st Holder : _____	Signature of 2nd Holder : _____	Signature of 3rd Holder : _____
/Authorised Signatory : _____	/Authorised Signatory : _____	/Authorised Signatory : _____
1st Holder Name : _____	2nd Holder Name : _____	3rd Holder Name : _____
1st Holder PAN : _____	2nd Holder PAN : _____	3rd Holder PAN : _____

## Citibank Disclaimer

Citibank, N.A. provides investment services as a distributor of third party Investment products (shortly referred as 'investment products'). Citibank N.A. does NOT provide investment advisory services in any manner or form. Investment products do not pertain to Citibank. Investment Products(i) are not bank deposits or obligations of or guaranteed by Citibank, N.A. Citigroup, Inc or any of its affiliates or subsidiaries; (ii) are not insured by any governmental agency and (Hi) are subject to investment risks, including the possible loss of the principal amount invested. Past performance is not indicative of future results, prices/invested sum is subject to market risks which may result in appreciation or depreciation. The ownership of any investment decision(s) shall exclusively vest with the Investor after analyzing all possible risk factors and by exercise of his/her/its independent discretion and Citibank N.A shall not be liable or held liable for any consequences thereof.

Investment products are not available to US persons, Residents of Canada and may not be available in all jurisdictions. By making any investment, you confirm your deemed acceptance to the conditions mentioned herein.

Investment products are distributed by Citibank N.A. on a non-discretionary and non participation basis. The final investment decision shall at all times exclusively remain with the investor.

Investor investing in investment products acknowledge that: (i) the third party product provider may invest in products denominated in non-local currency; (ii) there could be risk of exchange rate fluctuations, which may result in loss of principal or erosion of value of investment. This document does not constitute the distribution of any information or the making of any offer or solicitation by anyone in any jurisdiction in which such distribution or offer is not authorized or to any person to whom it is unlawful to distribute such a document or make such an offer or solicitation. Please exercise diligence by reading & understanding the Key Information Memorandum(s)/Scheme Investment Document(s) & Statement of Additional Information/Term Sheet/Prospectus carefully before investing and no claim whatsoever shall be made against Citibank N.A. any of its affiliates or subsidiaries and / or employees claiming any influence/recommendation/advice/responsibility/liability as against your decision to invest in any investment product.

Investor should ensure to understand, accept the identities of different parties and the roles that they play in relation to the various Investment Product(s). Investor acknowledges that, there may be various actual or potential conflicts of interest between Citibank N.A. India, Citigroup Capital Markets Ltd., Citigroup Inc. or their affiliates or subsidiaries (collectively "Connected Persons") and that of an investor itself, as a result of the various investment and/or commercial businesses and/or activities of the Connected Persons. You are deemed to accept, on purchasing/ subscribing / investing to a particular Investment Product(s), that any such conflict may exist and may be prejudicial to an investment in the Investment Product(s).

Purchase of Mutual Funds by customer is purely voluntary and not linked to availment of any other facility from the Bank.

**Equity/Debt Funds:** Subject to meeting all criteria and/or internal verification, the Order(s) shall be treated as 'Valid Order'. For all such valid Order(s) placed on or before 14:00 Hrs IST, same day NAV shall be applicable.

**Liquid Funds:** Subject to meeting all criteria and/or internal verification, the Order(s) shall be treated as 'Valid Order'. For all such valid Order(s) placed on or before 12:45 hrs, same day NAV shall be applicable.

**For NRI clients,** all valid investment transactions may not be processed on the same business day and the NAV applicable would be as on date of processing.

### 1. Acknowledgement

I/We acknowledge that, the terms and conditions of CTF are in addition to the terms and conditions of Investment Services account. I/We agree to abide by the same, and in case of any conflict between the two, the terms and conditions of Investment Services Account shall prevail. The latest terms and conditions of your Investment Services Account are available on the wealth management page on [www.citibank.co.in](http://www.citibank.co.in).

### 2. Authorisation

Investment Products related services instructions shall only be processed provided there is sufficient balance in the Bank Account to cover the purchase price and to cover all other costs, fees and charges which are payable in connection with such transactions. The Bank shall on a best effort basis endeavor to execute such transactions, however the Bank shall not be responsible for the non-execution of my/our instructions. I/We hereby expressly authorise the Bank to do, perform or execute these instructions at my/our risk and cost, all or any of the following acts, deeds, matters and things:

- (i) To execute all investment transactions so instructed by me/us with regard to the various Investment Products distributed by the Bank on my/our behalf and to pay for the units/securities so purchased, on my/our instructions.
- (ii) To receive the account statement pertaining to the above said units/securities from third party product providers
- (iii) To execute all investment transactions so instructed by me/us with regard to the various units/securities held by me/us (whether solely or jointly with others) at my/our express instructions and to receive the payment of the redemption/sale price and acknowledge receipt of the same, based on my/our instructions.
- (iv) To collect, receive and discharge any sum including dividend, interest or income arising from the units/securities.
- (v) To facilitate credits of all monies in an account opened in my/our name received from all third party product provider(s) with the Bank and to make such debits in the said account as may be necessary for payments with respect to purchase of units/securities and any attendant costs in connection therewith.
- (vi) To give instructions and orders to brokers and agents at our express confirmation for the purposes of sale, purchase, transfer of the Investment Products.
- (vii) To transfer funds from my account directly to a third party product provider/broker/agent, on my/our behalf.
- (viii) To correspond with and give notice to third party product provider on my/our behalf.
- (ix) To disclose, exchange, share or part with all any information relating to me/us or my/our Account with the third party product provider (or any other third party so authorized by the third party product providers) or any regulator and/or service provider of the Bank.
- (x) To instruct the third party product providers to make note of instructions with regard to nomination/change in investment plan/any other changes.
- (xi) To employ agents and managers on my/our behalf.

### 3. Declaration

I/We hereby agree, affirm, confirm and declare:

- (i) My/our Citibank Investment account will be classified as a 'Recommended' Account. Within a Recommended Account, the Bank may recommend products to me/us and conduct risk based assessments of transactions in my/our account from time to time however the final investment decision rests with me/us. On the basis of these assessments, the Bank may recommend that I/we desist from concluding a particular investment transaction.
- (ii) That all investments so proposed to be made by me/us will be required to be commensurate to the Product Category Knowledge (PCK) with regard to such products, so confirmed by me/us in the Product Category Knowledge Form. I/We understand and agree that Product Category Knowledge (PCK) is assessed at a Client level. I/We also agree and accept that the Bank will, on best effort basis, update my PCK across all accounts with Citibank where I am a holder to enable transactions in my/our all accounts, however, I shall ensure that PCK is updated correctly on all my/our accounts and it will be my/our responsibility to contact my/our Relationship Manager/Citibank branch if I/we notice that my/our PCK is not reflecting correctly in any of my/our account(s). The Bank may seek additional documents from me/us to update the PCK to allow investment in my/our account(s). Every holder signing the Common Transaction Form requires PCK in the product category in which I/we wish to invest. Further, as the case may be, the Bank shall be within its rights to refuse any transactions which do not confirm to the above requirements.
- (iii) That redemption transactions may be subject to exit load being levied on the redemption amount, depending on the date of investment. I have read the fund documents to understand the exit load implications on my investment while executing a redemption transaction.
- (iv) That my/our investment risk profile is valid for a period of 24 months (12 months in case either holder of the account is >= 80 years of age) from the date of profiling. Once the validity of the risk profile expires (after 24 OR 12 months, depending on the age of the eldest holder in the account), I/we will be unable to perform any incremental investment transaction on the account until the risk profile is renewed.
- (v) That all transactions so proposed to be concluded by me/us are subject to the Bank's internal policies and suitability assessment criteria as may be amended from time to time and the Bank shall be within its rights to refuse any transactions which do not conform to the same. That in case I/We choose to invest into sophisticated financial products (complex products) as assessed by the bank from time to time, the same shall mandatorily be subject to an enhanced transaction suitability review.
- (vi) That I shall be responsible to ensure that the Common Transaction Form is complete and all details as required herein are duly filled up.
- (vii) That I/We shall consult our independent legal and tax advisors, as necessary, for legal or tax advice.
- (viii) That all the particulars given herein are true, correct and complete to the best of my/our knowledge and belief. I/We further agree not to hold the Mutual Fund House/Asset Management Companies /Third Party Product Providers and the Bank liable for any consequences in case of any of the above particulars being false, incorrect or incomplete. I/we shall not hold the Bank liable on account of the Bank acting in good faith on any of my/our instructions. The Bank may at its discretion not carry out instruction(s) from me/us where the Bank has reason to believe that the instructions are not genuine or are otherwise improper or unclear or raise a doubt. I/We shall not question or dispute this decision of the Bank. The Bank shall not be liable if any instructions are not carried out for any reason whatsoever and/or for any contrary instructions so provided by me/us to the AMC.
- (ix) That any and/or all Purchase/Switch/ Sale instructions shall be processed only if there are sufficient funds in the Account to cover the purchase price and to cover all other costs, fees and charges which are payable in connection with such transactions.
- (x) That the Bank's schedule of charges /fees may be changed/modified by the Bank from time to time at its sole discretion with prior notice in case of any increase in the charges/fees
- (xi) That the role of the Bank hereunder is limited to acting as my/our agent for giving effect to my/our instructions as provided hereinabove
- (xii) That any notice or other correspondence addressed by the Bank to me/us may be sent by the Bank at the mailing address /electronic mail address as the Bank may be aware of as the current address of the first holder.
- (xiii) That the transaction fee\*\* as agreed to upon between me/us and the Bank will be levied. The amount towards this transaction fee\*\* will be debited to my/our Bank account in addition to the investment amount.
- (xiv) That the Bank earns/would earn commissions from various AMCs /Third Party Product Providers and I/we confirm having received a copy of the Schedule of Commissions that the Bank earns /would earn from the different AMCs /Third Party Product Providers in which I/we are investing alongwith details of the commissions that the Bank earns /would earn from competing schemes of various AMCs /Third Party Product Providers.
- (xv) That I / we can view the current Schedule of Commissions on Citibank Online at [www.citibank.co.in](http://www.citibank.co.in) and that the Schedule of Commissions may be varied from time to time without notice to me/us.
- (xvi) That in the event of me/us providing direct instructions to the AMC or their agents, then the Bank shall not be liable/responsible in this regard for any reason whatsoever. All such transactions including but not limited to the following so initiated by me/us directly with the AMC shall be at sole risk and responsibility of me/ us:
  - (a) For any losses, depletion in value and amount, costs, that may be incurred and /or suffered by me/us in respect of the holdings so maintained by me/us with the Bank;
  - (b) For any details being reflected onto the systems of the Bank the same shall be on a best efforts basis on and after receipt of such information/ suitable updates from the AMC.
  - (c) For any and/or all Non Financial Transactions, the Bank shall not be liable for any change in record and the same shall only be effected in the Bank's records on appropriate intimation to this accord being made to the Bank by me/us and/or the AMC (as applicable) in the form and manner as deemed acceptable by the Bank; In all such cases the AMC shall be required and responsible for maintaining appropriate records at its end I/We understand that I/We will need to update the Bank directly of relevant changes being effected by me/us directly with the AMC, failing which the Bank shall not be in position to reflect the same on its records;
  - (d) For existing transaction concluded through the offices of the Bank the same shall be reflected in the Folio no. so maintained and reported by the Bank on a best efforts basis;
  - (e) For any incorrect portfolio details, dividend processing and payout including reinvestment, subscription/switch in to such Schemes of the AMC notwithstanding that such investment may be reflected by the AMC under the Bank's ARN;
  - (f) For rejection of the proposed investment in case the same is rejected by the Mutual Fund on account of any lacunae in the form and / or contrary instructions so provided to the AMC;
  - (g) For any investments so made by me/ us in such Schemes of the AMC which have not been approved by the Bank, I/We shall be liable for tracking the same notwithstanding that such investment may be reflected by the AMC under the Bank's ARN
  - (h) For any acts not attributable to the Bank on account of the me/us providing direct instructions to the AMC.
- (xvii) That it is my/our responsibility to inform the Bank of any transaction (sale/purchase) effected in my/our Market Linked Debentures
- (xviii) I/We have read and understood the applicable Terms and Conditions of the Cap & Collar facility as detailed on page 3.

## Systematic Investment Plan (SIP), Systematic Withdrawal Plan (SWP) & Systematic Transfer Plan (STP) Terms and Conditions .

I/We understand:

That the minimum monthly amount for each investment made under the SIP/STP/SWP is Rs.500 per fund/per transfer instruction or the minimum amount/units as stipulated by the relevant SIDs/KIMs. That in case of nonavailability of cleared and collected funds/ the specified mutual fund units as on the stipulated SIP execution date /STP date, the SIP/STP instruction for that month will not be carried out. If the SIP/STP/SWP execution date falls on a holiday, the same would be executed on the next business day. The applicable transaction fees or funds purchased through the SIP/STP will be as per the terms and conditions mentioned above. The transaction fee as mentioned above, will be levied and debited to your Bank account on every SIP/STP transaction. That any instruction to cancel my/our SIP/S/STP/SWP will take 15 working days to be effected. In an event that the 1st execution date has passed, the bank would process the SIP/S/STP/SWP instruction from the next available execution date as per fundhouse/AMC notification. I/We hereby agree to keep you fully indemnified and held harmless at all times from and against all claims, expenses, losses, damages, costs (including reasonable attorney's fees), actions, suits proceedings or demands that you may receive from or on behalf of the mutual fund house(s) in which I/we, am/are investing, for non execution or delays in execution of my/our above SIP/STP/SWP instructions either on account of non availability of sufficient funds/mutual fund units in my/our account or delays in the mail/courier services or for any other reason whatsoever or for your being unable to accept the SIP/STP/SWP instructions for any reason. By signing below, I/We agree to the terms and conditions of SIP/STP/SWP as contained in the Citibank Investment Services Account agreement. I/We acknowledge that I /we have received, read and understood the relevant SIDs/KIMs, and the terms and conditions of the fund relevant fund's SIP/STP/SWP. I/we understand that the SIP/STP is a continuous investment program which neither assures a profit nor protects against a loss declining markets and I/we have considered my/our ability to continue my/our purchases in SIP/STP through periods of low price levels.

**Common Transaction Form Terms and Conditions**

- I/We confirm that the KIM (Key Information Memorandum) / SID (Scheme Information Document), with Addenda of the relevant mutual fund scheme, Schedule of Commissions, Citibank Transaction Fee Grid, Term Sheet of the MLD, Prospectus of Bond(s) I/We are investing in, have been shared with me/us.
- I/We have read and understood the KIM/SID including the addenda issued till date, and the Schedule of Commissions, and fully understand the associated risks and returns of the Fund(s) which I/We intend to invest. I/We understand that Mutual Funds are not obligations of or guaranteed by Mutual Fund Houses or Asset Management Companies.
- I/We agree to abide by the Terms and Conditions, rules and regulations of the Mutual Fund Schemes as on the date of this investment and confirm that the monies invested in the scheme legally belongs to me/us.
- Please note that SID should be read in Conjunction with the Statement of Additional Information(SAI) at all times and not in isolation.
- I shall at all times keep myself/ourselves updated and informed of the relevant SIDs/KIMs of the Mutual Fund Houses / Asset Management Companies.
- I/We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. This confirmation shall be deemed to be re-confirmed and be effective for every instruction for Investment from me/us to the Bank.
- I/We understand that the value of my/our mutual fund units can fluctuate. If I / We sell / redeem the mutual fund units, I / We may receive more or less than the amount I / We paid depending upon the market value of the mutual fund units at the time of redemption and that past performance is not a guarantee of future performance and a fund's past performance should not be considered an indication on or guarantee of future performance.
- I/We acknowledge that the term "United States Person" or "US Person(s)" refers to: (a) a United States Citizen, and/or; (b) a United States resident; meaning a green card holder, or (c) an individual physically present in the United States for 31 days in the current calendar year and 183 days during the 3 year period that includes the current year and the two years immediately before that, counting, (i) all the days present in the US in the current year, (ii) 1/3 of the days present in the US in the first year before the current year, and (iii) 1/6 of the days present in the US in the second year before the current year; and it could also include Clients with a US address and/or, Social Security Number. For Companies / Corporations it refers to: (a) a corporation, partnership or entity organised or existing under the laws of any state territory or possession of the United States; (b) an estate or trust of which any executor, administrator or trustee is a United States Person; (c) an agency or branch of a foreign entity located in the United States; and it could also include Companies with US address and/or; Companies owned or controlled by a US Person (ownership of 10% or more by a US Person).
- I am/we are not - Residents of Canada, US Person. I/we further declare and undertake that I/we shall, immediately upon becoming a Resident(s) of Canada, US Person, person not resident in India who is a Non Resident Indian (s) or a Person of Indian Origin inform the Bank of such change in my status.
- I am/we are not a US person for purposes of US federal income tax, and that I am not acting for, or on behalf of, a US person. I am not resident in the US. I acknowledge that a false statement or misrepresentation of tax status by a US person could lead to penalties under US law. If my tax status changes and/or I become a US citizen or resident of the United States or change my mailing address to the USA, I undertake to notify Citi within 30 days of such change in status.
- In the event, I become a US person, Residents of Canada, person not resident in India who is a Non Resident Indian (s) or a Person of Indian Origin, I agree that Citi shall be entitled to do all acts and things it deems necessary, including but not limited to (i) blocking of account through the Citibank Online Platform (CBOL); (ii) closure of my/our account, (iii) non-acceptance and/or rejection of any instructions provided by me to purchase any investment product, (iv) liquidation of the affected assets and/or (v) a transfer of my account to an alternate vehicle; in order to ensure compliance with applicable local laws; applicable laws/rules and regulations of the customers country of residence and/or any internal policies and any execution of such transactions will be governed by the same. I agree to bear all costs and expenses incurred by Citi as a result thereof.

<b>Signature for Transaction Execution</b>	<b>Citibank account no.</b> <input style="width:90%;" type="text"/>	<b>Investment services account no.</b> <input style="width:90%;" type="text"/>
The form should be signed after all the details are completely filled.		
Signature of 1st Holder <input style="width:90%;" type="text"/>	Signature of 2nd Holder <input style="width:90%;" type="text"/>	Signature of 3rd Holder <input style="width:90%;" type="text"/>
/Authorised Signatory : <input style="width:90%;" type="text"/>	/Authorised Signatory : <input style="width:90%;" type="text"/>	/Authorised Signatory : <input style="width:90%;" type="text"/>
1st Holder Name : <input style="width:90%;" type="text"/>	2nd Holder Name : <input style="width:90%;" type="text"/>	3rd Holder Name : <input style="width:90%;" type="text"/>
1st Holder PAN : <input style="width:90%;" type="text"/>	2nd Holder PAN : <input style="width:90%;" type="text"/>	3rd Holder PAN : <input style="width:90%;" type="text"/>

**Additional declarations for various account/transaction types**

**For Joint Accounts (Either or survivor accounts only) OR Non-Individual Accounts (with the exclusion of Individual, HUF, and Sole Proprietorship accounts), please tick below**

I/We confirm on behalf of the Investor that I/ We have product category knowledge in the products included in this transaction request. My/ our product category knowledge in this (/ these) product(s) is based on past investment experience/ education/ professional knowledge and/ or other external sources. I/We confirm that I/ We have the necessary authority to make the investment decision on behalf of the Investor and the same shall at all times be valid, effective and binding on the Investor. I/We confirm that the proposed transaction(s) is/are in line with the Product Category Knowledge (PCK) so declared by me/us/ or any other authorized signatories in the Product Category Knowledge Form. Further, the Bank shall be within its rights to refuse any transactions which do not conform to the above requirements.

**For NRI Customers Only**

I/We confirm that I am/we are Non-resident of Indian Nationality/Person of Indian Origin and I/we hereby confirm that the funds for all investments have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account.

The terms and conditions thereof may be amended/altere d/varie d/modifie d by the Bank from time to time. The Bank reserves the right to seek additional documentation to facilitate transactions during my/our visit to Branches within the jurisdiction of Citibank N.A. India.

I/We hereby declare and confirm that there is no change in my/our Country of Residence as updated in the Bank record. I/We confirm that I/We am/are responsible to keep myself/ourselves updated of any local legal/ regulatory requirements with regards to conducting investment transactions as applicable to my Country of Residence.

All transactions are required to be as per the requirements of the applicable policies of the bank, failing which the bank shall be within its right to decline and/or refuse the same.

I/We hereby agree and accept that all valid investment transactions requested by me/us may not be processed on the same business day and the NAV applicable would be as on date of processing.

Signature of 1st Holder <input style="width:90%;" type="text"/>	Signature of 2nd Holder <input style="width:90%;" type="text"/>	Signature of 3rd Holder <input style="width:90%;" type="text"/>
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I/We hereby authorize Mr./Ms. \_\_\_\_\_, Officer of Citibank N.A. India to assist me in completing my application form and related documents, prior to my signing the Application Form. It is my responsibility to read, understand and satisfy myself that the contents mentioned on the Application form are filled as per my instructions as to the correctness and completeness in all respects, prior to signing and it is binding on me/us.

Signature of 1st Holder <input style="width:90%;" type="text"/>	Signature of 2nd Holder <input style="width:90%;" type="text"/>	Signature of 3rd Holder <input style="width:90%;" type="text"/>
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**\*\*\*Cap & Collar (C&C) Facility Terms and Conditions**

The C&C Facility is an optional alert facility made available at the express request of the Customer. The C&C Facility is being provided by the Bank on a best-effort basis only and separate instructions for execution of any Investment related transactions will need to be provided by the Customer. The C&C Facility is merely an information tool that will enable the Customer to track the attainment of the Cap and/or Collar Limit as set by the Customer with regard to a particular Investment. The C&C Alert shall be sent by the Bank to the Customer to the registered e-mail id in respect of the Account. This facility is available only to customers who have registered their e-mail id with the Bank. In the event that the same is not maintained the Bank shall not be liable for the same in any manner whatsoever. The C&C Alert shall be sent to the registered e-mail id and the Bank will not be required to carry out any due diligence to ensure that the said registered e-mail id is part of Citi Do Not Disturb (DND) List. The C&C Facility is made available to the Customer, at the sole discretion of the Bank and may be discontinued withdrawn, amended and / or altered by the Bank at any time, without prior notice. The C&C Facility is not presently available over CitiPhone and Citibank Online (CBOL). For all transactions, Dividend paid out from the date of maintenance will be considered for calculation of the trigger limits.

**Your Citibank Relationship Manager is committed to providing you the best-in-class service for your banking needs. This section gives you more information on what you can expect from your Relationship Manager (RM), and some guidelines that should be followed for banking transactions**

- Our RM is a trained and certified person, qualified to assist you in executing your transactions.
- Our RM will help you assess your risk profile and investment objectives. A client profile can range from 'safety oriented' to 'specialized investing', and can change with the course of time
- Our RM can then provide you with information about suitable investment products based on the profile assessment. Please remember that the final decision about any investment product would always be with you, our customer.
- Our RM will provide you with the relevant offer document(s) containing product specific information. These documents are also available on our website at [www.online.citibank.co.in/products-services/products-services.htm](http://www.online.citibank.co.in/products-services/products-services.htm).
- The RM shall have, in his / her possession, the identification card issued by the Bank.
- An RM will not provide statements of account/certificate on his/her own. They can, however, facilitate such a request, based upon requisite and appropriate documented requests. This is to ensure you only get authentic information from Citibank.
- An RM will not commit or guarantee the performance or returns of any investment products.
- An RM will not present products that are not approved by Citibank. The list of approved products is available at our branches / on our website for your reference.
- An RM will not accept blank / incomplete forms. This is to ensure that any information on the transaction form is filled-in and validated by the client himself/herself, and not by a third party.
- An RM will not divulge any information that is proprietary and confidential in nature, pertaining to the bank or any other third party in relation to the investment products offered or otherwise. Know your Citibank RM better

**Caution :**

- Citibank sends you statements, advices & alerts at regular intervals to track your finances. In case you notice any suspicious transaction, please contact us immediately on our 24x7 CitiPhone helpline for clarifications.
- We do not provide any commissions or rebates for any products that are subscribed through the bank. Any such promise, if made, should be immediately brought to the Bank's attention
- Please do not hand over any blank instruction forms to an RM, even if they are ostensibly for future transactions. Also, please destroy any forms that may have been incorrectly filled and are not needed.
- The Key Information Memorandum / product documents enable you to take informed financial decisions. Please read them carefully to understand the implications prior to transacting. These are available on our website for your reference.



# Axis Bank is an AMFI registered Mutual Fund Distributor Investment Services Account

## NOMINATION FORM

### Form for Fresh Nomination / Change of Existing Nomination/ Cancellation of Nomination / Opting out of Nomination

In order to safeguard your interest, it is important that all the documents are duly completed and signed by you, prior to being handed over to the Bank/Bank Employee. (For Bank Use Only - AMC Folio No/Application No.: )

Account Holder(s) Name/Title	Date :	<table border="1" style="border-collapse: collapse; text-align: center; width: 100%;"> <tr> <td style="width: 25px;">D</td><td style="width: 25px;">D</td><td style="width: 25px;">M</td><td style="width: 25px;">M</td><td style="width: 25px;">Y</td><td style="width: 25px;">Y</td><td style="width: 25px;">Y</td><td style="width: 25px;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y	Batch No. :
D	D	M	M	Y	Y	Y	Y				
1st Holder :											
2nd Holder :											
3rd Holder :											
Citibank Account No. :			Investment Services Account No.:								

#### Nomination Details

Please note that the nomination section needs to be mandatorily completed for all first time transactions to an AMC. (Only for Individual Accounts with Single Holder, Joint Holders & Sole Proprietor Accounts)

The Bank recommends that all Customers avail nomination facility. Nomination facility is intended only for individuals including a sole proprietary concern. It may be noted that in the case of a Joint Account the nominee's right arises only after the death of all the holders.

I/ We do hereby wish to:

nominate the under mentioned Nominee     cancel the nomination made by me/us earlier     modify the nomination made by me/us earlier     Opt-out declaration form.

**I / We hereby confirm that I / We do not wish to appoint any nominee(s) for my mutual fund units held in my / our mutual fund folio and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents issued by Court or other such competent authority, based on the value of assets held in the mutual fund folio.**

Kindly note that the nominee/s stated below will be affected for all the units in the respective Asset Management Company's Folio. In case you do not receive a confirmation of the updation of the nomination stated below kindly contact the branch / relationship manager for clarifications.

I/ We do hereby nominate the under mentioned Nominee to receive the Units to my / our credit pertaining to the \_\_\_\_\_ ("AMC") (Please complete details of the Fund House) the Investment Services Account No. as mentioned in the form in the event of my event of my/our death. I / we also understand that all payments and settlements made to such Nominee (upon such documentation) shall be a valid discharge by the AMC.

Name of the 1st Nominee:  % of Allocation:

PAN of the Nominee:  Date of Birth of Nominee\*

Nominee Relationship:

Name of the Guardian\*:

PAN of Nominee Guardian\*:

Guardian's Relationship with Nominee:\*  Mother  Father  Legal Guardian

Proof of relationship\*:  Birth Certificate  School Leaving Certificate  Passport  Others \_\_\_\_\_

Address:

City:  State:  PIN:

Name of the 2nd Nominee:  % of Allocation:

PAN of the Nominee:  Date of Birth of Nominee\*

Nominee Relationship:

Name of the Guardian\*:

PAN of Nominee Guardian\*:

Guardian's Relationship with Nominee:\*  Mother  Father  Legal Guardian

Proof of relationship\*:  Birth Certificate  School Leaving Certificate  Passport  Others \_\_\_\_\_

Address:

City:  State:  PIN:

VER 12/BANKING/DCTC FORM/WPC/12-23

Name of the 3rd Nominee:  % of Allocation:

PAN of the Nominee:  Date of Birth of Nominee\*

Nominee Relationship:

Name of the Guardian\*:

PAN of Nominee Guardian\*:

Guardian's Relationship with Nominee\*:  Mother  Father  Legal Guardian

Proof of relationship\*:  Birth Certificate  School Leaving Certificate  Passport  Others \_\_\_\_\_

Address:

City:  State:  PIN:

\* Applicable in case the Nominee is a Minor. (Also, please attach a copy of the minor's birth certificate) \*\*

\*\*Applicable in case the Nominee is a Major

Witness Name :

(Witness name, address and signature only required if customer's thumb impression has been used)  
(Please note that Bank employee cannot sign as witness)

Witness Address :

Signature of Witness:

### Nomination Facility Terms and Conditions

\*In case of multiple nominees, the percentage of allocation/share in favour 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. If the aggregate is less than 100% then the balance will be re-balanced to the first Account Holder. If the aggregate is greater than 100% then nomination would be rejected. In the event of the Account Holders not indicating the percentage of allocation/share for each of the nominees, Mutual Fund / Asset Management Company, by invoking default option shall settle the claim equally amongst all the nominees.

The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly. The Nomination being made in terms hereof shall supercede all previous nominations so made and/or effected by me. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the units are held jointly (i.e., in case of multiple unitholders in the folio), all joint holders need to sign the Nomination Form (even if the mode of holding/operation is on "Anyone or Survivor" basis). Nomination can be made for maximum number of three nominees. A minor can be nominated and in that event, the name and address of the guardian of the minor nominee 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 religious or charitable trust. The Nominee shall not be a trust, other than a religious or charitable trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force from time to time. Nomination in respect of the Units stands rescinded upon the transfer of Units. **Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/ Mutual Fund / Trustees against the legal heir(s).** The cancellation of nomination can be made only by those individuals who hold Units on their own behalf singly or jointly and who made the original nomination. On cancellation of the nomination, the nomination shall stand rescinded and the Bank / AMC shall not be under any obligation to transfer the Units in favour of the Nominee. Nomination will not be allowed for minor accounts.\*\*Kindly note that signature of nominee is not mandatory. Nomination made by a unit holder shall be applicable for units held in all the schemes under the respective folio / account. Death of Nominee/s: In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, the said nominee's share will be distributed equally amongst the surviving nominees. The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC. In respect of folios/accounts where the Nomination has been registered, the AMC will not entertain any request for transmission / claim settlement from any person other than the registered nominee(s), unless so directed by any competent court.

Please note that this nomination request will override the existing nomination in case the same has already been recorded for your account earlier.

I/We acknowledge that the term "United States Person" or "US Person"(s) refers to: (a) a United States Citizen, and/or ; (b) a United States resident; meaning a green card holder, or (c) an individual physically present in the United States for 31 days in the current calendar year and 183 days during the 3 year period that includes the current year and the two years immediately before that, counting, (i) all the days present in the US in the current year, (ii) 1/3 of the days present in the US in the first year before the current year, and (iii) 1/6 of the days present in the US in the second year before the current year; and it could also include Clients with a US address and/or, Social Security Number. For Companies / Corporations it refers to: (a) a corporation, partnership or entity organised or existing under the laws of any state territory or possession of the United States; (b) an estate or trust of which any executor, administrator or trustee is a United States Person; (c) an agency or branch of a foreign entity located in the United States; and it could also include Companies with US address and/or; Companies owned or controlled by a US Person (ownership of 10% or more by a US Person).

• I am/we are not - Residents of Canada, US Person . I/we further declare and undertake that I/we shall, immediately upon becoming a Resident(s) of Canada, US Person, person not resident in India who is a Non Resident Indian (s) or a Person of Indian Origin inform the Bank of such change in my status.

Citibank India does not market any product or service to individuals resident in the European Union, European Economic Area, Switzerland, Guernsey, Jersey, Monaco, San Marino, Vatican, and The Isle of Man. This form is not, and should not be construed as, an offer, invitation or solicitation to buy or sell any of the products and services mentioned herein to individuals resident in the European Union, European Economic Area, Switzerland, Guernsey, Jersey, Monaco, San Marino, Vatican, and The Isle of Man.

Kindly note that all Account Holders are required to sign in order to effect a nomination. The form should be signed after all details are completely filled

Signature of 1st Holder/Authorised Signatory : <input type="text"/>	Signature of 2nd Holder/Authorised Signatory : <input type="text"/>	Signature of 3rd Holder/Authorised Signatory : <input type="text"/>
1st Holder Name : <input type="text"/>	2nd Holder Name : <input type="text"/>	3rd Holder Name : <input type="text"/>

For Bank Use Only	<b>Maker</b> <input type="checkbox"/> Customer Signature Verified <input type="checkbox"/> All signatories to the account to have signed in case of a nomination/intention to not nominate <input type="checkbox"/> Nomination/intention to not nominate mandatory for first time txns. to an AMC for Individual Accounts with Single/Joint Holder & Sole Proprietor Accounts <input type="checkbox"/> Nomination not done for minor accounts	<b>Checker</b> <input type="checkbox"/> Signature Verified by Maker <input type="checkbox"/> All signatories to the account to have signed in case of a nomination/intention to not nominate <input type="checkbox"/> Nomination/intention to not nominate mandatory for first time txns. to an AMC for Individual Accounts with Single/Joint Holder & Sole Proprietor Accounts <input type="checkbox"/> Nomination not done for minor accounts
	Maker Signature : _____ Stamp-Name/ID : _____	Checker Signature : _____ Stamp-Name/ID : _____

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**Bank Use Section**

**Section 1 - RM**

Reason for redemption/switch <365 days, <90 days: \_\_\_\_\_

- Sign done in person       Inward mail       Bearer walk in       Non branch Customer

**Please fill the below section only in case of subscription/switch/SIP/STP:**

- I confirm that the customer has been provided with the KIMs/SIDs/Term Sheet & the schedule of commissions  
 For non-suitable transactions, client attestation (form or e-mail) has been received

**For vulnerable client transactions:**

Rationale for the sale: \_\_\_\_\_

- Client has been explained the associated risks, illiquidity (where applicable), fees and loads related to the product

RM Signature \_\_\_\_\_ Stamp-Name/ID \_\_\_\_\_

**Section 2 - RM Supervisor**

1.  I have reviewed the transaction and approve of the redemption/switch <365 days/90 days.      2.  I am certified on investments.

3.  For non-suitable transactions, I have reviewed and approved the transaction

**For vulnerable transactions:**

1.  Reviewed RM rationale for vulnerable segment and have approved the transaction

2. The transaction(s) is/are commensurate with the client's:

- a.  Total investment AUM (with Citibank) AND    b.  Transaction history

Client's total AUM with Citibank inclusive of this subscription: INR \_\_\_\_\_

Signature \_\_\_\_\_ Stamp-Name/ID \_\_\_\_\_

**Section 3 - Maker**

- Cap & Collar Limit is in % Whole Numbers (0-100)     Supervisor is certified on investments     For vulnerable client transactions, RM and RM supervisor attestation and signatures available

If the transaction is unsuitable, separate client attestation has been received via:

- The Client Attestation Form     Email from the registered Email ID of the client

**Other checks to be completed :**

All signatories to the account to have signed for the 1st time investments in a Fund House    •Customer signature verified in all places on CTF    • All orders of the same AMC

**For Non Individual and Joint Accounts Only**     Acknowledgment of PCK Available

**For NRI customers only**    • No mutual funds to be sold to Residents of Canada and US Citizen(s), Resident(s), or Green card Holders

• (Required for all transactions except Redemption and SWP) In Person Memo/ cancelled cheque/ call back confirmation available.

• Separate client signature(s) taken in NRI section

COR as per ORV7 \_\_\_\_\_

**For Nomination section**    • All signatories to the account to have signed in case of a nomination/intention to not nominate

• Nomination not done for minor accounts

• Nomination/intention to not nominate mandatory for first time txns to an AMC for Individual Accounts with Single Holder & Sole Proprietor Accounts

Maker Signature \_\_\_\_\_

Stamp-Name/ID \_\_\_\_\_

**Section 4 - Checker**

**Other checks to be completed :**

• Signature verified by Maker

• All signatories to the account to have signed for the 1st time investments in a Fund House

• All signatories to the account to have signed in case of a nomination/intention to not nominate

• Nomination/intention to not nominate mandatory for first time txns to an AMC for Individual Accounts with Single/Joint Holder & Sole Proprietor Accounts

Remarks : \_\_\_\_\_

Cheker Signature \_\_\_\_\_

Stamp-Name/ID \_\_\_\_\_

For vulnerable client transactions, RM and RM supervisor attestation and signatures available

For non-suitable transactions, client attestation is available in the form of:

- The Client Attestation Form     Email from the registered Email ID of the client