



Know Your Customer (KYC) Application Form

(Resident Individuals / NRI)

Please fill the information in CAPITAL Letters and

☒

in appropriate places

The information is sought under Prevention of Money Laundering Act, 2002, the rules notified thereunder and RBI guidelines on Know Your Customer

For existing Depositor, the information furnished herein will supersede the information available in the records of SFL

Customer's Details (as per KYC documents)

Customer ID: _____
(If existing Investors)

*PAN (^Form 60) _____

CKYC No _____
(if any)

*Gender : M ☐ F ☐ Others ☐

*Date of Birth

*Name _____

D

D

M

M

Y

Y

*Father Name _____

*Mother Name _____

Spouse Name (If Married) _____

*Communication Address: _____

City _____ State _____ *Pin _____

Country _____ Birth Place _____

*Nationality _____ *Citizenship _____

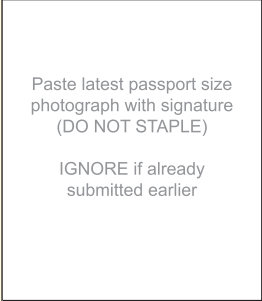
*Permanent Address: _____

City _____ State _____ *Pin _____

Country _____

*Mobile No _____ #Email ID _____

* Fields are Mandatory # Mandatory for E-Receipt *If investment amount <= Rs.50,000/- & Pan not available



*Occupation Type: ☐ Salaried ☐ Professional ☐ Self Employed

☐ Student ☐ Housewife ☐ Retired ☐ Other (Please specify _____)

*If Self Employed: ☐ Manufacturing ☐ Professionals ☐ Service Provider ☐ Agriculture ☐ Trader

Nature of Business: ☐ Jewellers/Bullion ☐ Real Estate ☐ Stock Broker ☐ Other (Please specify _____)

*Please tick (✓) If the following is applicable to you ☐ Politically Exposed Person (PEP) ☐ Relative of PEP ☐ Not Applicable

*Annual Income:

☐ Upto Rs. 3 Lakhs ☐ Above Rs. 3 Lakhs - 6 Lakhs ☐ Above Rs. 6 Lakhs - 15 Lakhs ☐ Above Rs. 15 Lakhs - 30 Lakhs ☐ Above Rs. 30 Lakhs

Source of Fund:

☐ Salaried ☐ Business Income ☐ Agriculture ☐ Investment Income ☐ Sale of Asset ☐ Other (Please Specify) _____

*Proof of Identity (Self Attested)

☐ Aadhaar issued by UIDAI Expiry Date _____

☐ Passport _____/_____/_____

☐ Driving Licence _____/_____/_____

☐ Voter ID Card

☐ Others : _____

*Proof of Address (Self Attested)

☐ Aadhaar issued by UIDAI Expiry Date _____

☐ Passport _____/_____/_____

☐ Driving Licence _____/_____/_____

☐ Voter ID Card

☐ Others : _____

- Additional Documents Required for NRI'S**
- * Address proof both Indian and overseas - Self Attested
 - * PIO card (if it is a foreign passport)
 - * Tax Resident Certificate (TRC) for IT Department of the country of which the investor is resident to avail DTAA benefit
 - * Overseas Employment letter (optional for confirmation of residential status and overseas address)
 - * Passport with valid visa page self attested
 - * DTAA Declaration
 - * NRI Undertaking cum FATCA / CRS declaration Form

Place : _____

*Date : ____/____/_____

*Signature : _____

For Office Use Only

Documents Received ☐ Certified Copies

Checked by

KYC VERIFICATION CARRIED OUT BY

Emp. Name : _____

Emp. Code : _____

Designation : _____

Date : _____

Employee signature

INSTITUTION DETAILS

Name : _____

Code : _____



DTAA UNDERTAKING

From,

Date:

To,

The Manager (Deposits)

Shriram Finance Limited

Dear Sir,

Re: Receipt No.....Folio No/ PAN.....

I.....I am/will be a nonresident within the meaning of the Indian Income Tax Act 1961 for the financial year.....

I hereby declare that the interest earned on the above deposits is taxable at _____ (place/country). Hence, tax can be deducted as per double tax avoidance agreement (DTAA)

I undertake to promptly inform the company in writing should there be any change in the facts given above

I also undertake to provide a fresh declaration to the company at the beginning of every financial year. I confirm that, in the event of my failure or delay in submitting the fresh declaration every year, the company has the liberty to apply the income tax rate provided in the Indian Income Tax 1961 without extending the benefits of the Agreement for Avoidance of Double Taxation. In such cases, I shall claim the refund, if any, directly from the Income Tax Department and the company will not be liable for the same in any manner

Yours Truly,

(Signature of the First Applicant / Depositor)

NO PE CERTIFICATE

To, _____ Date _____

<<Name of Remitter Company>>

<<Address>>

Re: **Declaration**

1. We hereby declare and confirm that we are a resident of <<Country of residence>> and non-resident in India.
2. We confirm that we are in the business of _____ and the income from the same is covered under Articleof the India-<<name of country of residence>> Tax Treaty.
3. We further confirm that we neither have nor foresee to have any Permanent Establishment (including any fixed base) or any business connection or significant economic presence or any property or any asset or any source of income in India as defined under the [Indian] Income Tax Act, 1961 and India-<<name of country of residence>> Tax Treaty during the Financial Year 2022-23. In the event of us having a PE or fixed base or business connection in India, we acknowledge our obligation to inform you forthwith with necessary details.
4. We confirm that we are a 'person' as covered under Article 3 of the Double Taxation Avoidance Agreement entered between India and _____<<Name of the Country>> ('the India ____ <<Name of country>> Tax Treaty').
5. We confirm that we are a Resident of _____ <<Name of the Country>> within the meaning of Article 4 of the India _____<<Name of the Country>> Tax Treaty. We hereby furnish a copy of Tax Residency Certificate ('TRC') [dated _____, Taxpayer Identification Number: _____] issued by the _____ <<Relevant tax authority>> confirming the same.
6. We are the beneficial owner of the amounts received/ receivable by us under the relevant Agreement / Contract / Order.
7. We hereby declare that the transaction/ arrangement/ investments made by us is not covered under the law relating to impermissible avoidance arrangement as per Income-tax Act, 196
8. We hereby certify that the declarations made above are true and bona fide. In case there is any change to any of the confirmations provided, we shall inform you immediately.
9. Our Taxpayer Identification Number is _____.
10. We confirm that our Permanent Account Number in India is _____.
11. Our e-mail id is _____ and contact number is _____.
12. We hereby certify that the declarations made above are correct, complete or truly stated. We confirm that any loss/ tax cost (including interest and penalty) arising to <<Name of Remitter Company>> due to incorrect / false declaration will be borne by/ indemnified by us.
13. In case there is any change of facts, we will inform you immediately.

The declaration is valid for the period _____ to _____.

Authorized Signatory

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NON- RESIDENT UNDERTAKING CUM FATCA / CRS DECLARATION

To,

Shriram Finance Limited

In consideration of the Reserve bank of India having permitted Shriram Finance Limited to accept deposits without the rights of repatriation/agreed to permit me/us to invest an amount of Rs _____ (Rupees _____).

I/We _____ son/daughter /wife of _____
_____ residing at _____

Do hereby agree and undertake that I/we shall not at any time seek repatriation of the principal deposits invested or of the interest income earned thereon. This undertaking will also be binding on my /our heirs, executors, successors and assignees and they will not be entitled to seek repatriation of any capital so invested by me/us or any interest income earned thereon.

We further undertake that The amount deposited with Shriram Finance Limited represent amount transferred from NRO account Further this amount does not represent inward remittance from overseas to NRO account or transfer of fund from NRE/FCNR(B) account to NRO account.

FATCA / CRS Details for individual Applicants (mandatory for all applicants)

Applicant/s	Place / City of Birth	Country of Birth	Country of current residence	Country of citizenship / nationality
First applicant				India <input type="checkbox"/> USA <input type="checkbox"/> others.....
Second applicant				India <input type="checkbox"/> USA <input type="checkbox"/> others.....
Third applicant				India <input type="checkbox"/> USA <input type="checkbox"/> others.....

Are you a tax resident (i.e. are you assessed for tax) in any other country outside India? Yes ☐ No ☐

If 'yes', Please fill below details for all countries (other than India) in which you are a resident for tax purpose

i.e. where you are a citizen/resident/green card holder/tax resident in the respective countries

Applicant/s	Country of tax residency	Tax Identification Number or functional equivalent*	Identification type (TIN or other, Please specify)	If TIN is not available, Please tick the reason A,B or C (as defined below)
First applicant				Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
Second applicant				Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
Third applicant				Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>

*SSN, International passport, Driving License

Reason A – The Country where the applicant is liable to pay tax does not issue Tax Identification number to its residents

Reason B – No TIN required (Select this ONLY if the authorities of the respective country of tax residence do not require the TIN to be collected)

Reason C – Other, Please state the reason thereof

Applicant/s	Residential Address	Registered Address	Business Address
First application			
Second applicant			
Third applicant			

I/We understand that my/our Fixed Deposit with the Company may create legal, tax or other financial/reporting obligation for me/us under the laws of the country of which I/We hold citizenship or reside in. I/We shall be solely responsible for undertaking and fulfilling any obligations that I/We may have under the laws of such country/ies and shall not hold the company liable under any circumstance in the event of a default on my/our part in fulfilling the said obligations. I/We agree that, as may be required by domestic regulators/ tax authorities the Company may also be required to report, reportable details to CBDT or close or suspend my/our applications/contract.

Place: _____

Signature(s)

Date: _____

- 1.
- 2.
- 3.

Signatures of non-resident investor/s