

# COMMON APPLICATION FORM

(To be Used / Distributed along with Scheme Information Document)

**YES MUTUAL FUND**

Investors must read the Key Information Memorandum, Instructions and Product Labeling before completing this Form. Please read the instructions before filling up the Application Form. Tick (✓) whichever is applicable, strike out whichever is not required.

Application No.

Please Note: All field marked with asterisk (\*) to be mandatorily filled.

## 1. DISTRIBUTOR INFORMATION\*

ARN code	RIA code	ARN / RIA Name	Sub broker ARN code	Sub broker code **	EUIN*
ARN-53321	RIA -		ARN -		E054731

\*\*As allotted by ARN holder

\*Employee Unique Identification Number

Incase the EUIN box has been left blank, please refer the point related to EUIN in the Declaration & Signatures section overleaf. Upfront commission "if any applicable" shall be paid directly by the investor to the AMFI registered distributor, based on the investor's assessment of various factors, including the service rendered by the distributor.

## 2. TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY\* (Please ✓ any one of the below) (refer instruction no. 2)

☐ I confirm that I am a First time investor in Mutual Funds. OR ☐ I confirm that I am an existing investor in Mutual Funds.

**Go Green Initiative**

☐ Opt-in - Physical  
☐ Opt-out - Email  
Refer instruction no. 12

## 3. FOLIO NUMBER

The details in our records under the folio number mentioned alongside will apply for this application.

## 4. MODE OF HOLDING

☐ Single ☐ Joint ☐ Anyone or Survivor (Default option Joint)

## 5. DEMAT ACCOUNT DETAILS\* Kindly fill the below details for allotment of units in demat

National Securities Depository Limited				Central Depository Services (India) Limited			
Depository Participant Name				Depository Participant Name			
DP ID	IN	Beneficiary A/c No.		Beneficiary A/c No.			

## 6. SOLE / FIRST APPLICANT'S DETAILS\* (In case of Minor, there shall be no jointholders) [Name and DOB shall be as per PAN Card]

Name*	Mr. Ms. M/s.	Gender* (please ✓) <input type="checkbox"/> Male <input type="checkbox"/> Female								
Date of Birth / Incorporation*	<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	<input type="checkbox"/> Proof of DOB of Minor enclosed (please ✓) <input type="checkbox"/> Passport <input type="checkbox"/> Birth Certificate <input type="checkbox"/> Other <small>please specify</small>
D	D	M	M	Y	Y	Y	Y			
PAN/PEKRN*	<input type="checkbox"/> KYC Proof Attached*	CKYC / KIN								
Guardian Name (in case of Minor) / POA (Contact Person For Non Individuals / POA Holder Name)*										
PAN/PEKRN*	<input type="checkbox"/> KYC Proof Attached*	CKYC / KIN								
Mailing Address [P. O. Box Address is not sufficient]										
	City									
Pincode*	State	Country								
Phone (Off.)	Fax No.	Mobile No.*								
Phone (Res)	Email ID									
Overseas Address* (in case of NRI/ FII applicant, in addition to mailing address)										
State	Country	Zip Code*								
<b>Status:</b> (Mandatory, Please ✓)	<input type="checkbox"/> Resident Individual <input type="checkbox"/> NRI-Repatriation <input type="checkbox"/> NRI-Non Repatriation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Minor through guardian <input type="checkbox"/> Company <input type="checkbox"/> FIs <input type="checkbox"/> PIO <input type="checkbox"/> Body Corporate <input type="checkbox"/> Society/Club <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Non Profit Organisation <input type="checkbox"/> Financial Institution <input type="checkbox"/> NBFC <input type="checkbox"/> Others <small>(please specify)</small>									
<b>Occupation:</b> (Mandatory, Please ✓)	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others (Please specify)									
<b>Gross Annual Income:</b> (Mandatory, Please ✓)	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs-1 crore <input type="checkbox"/> >1 crore OR Net worth* (for Non-Individuals) ₹ as on <table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> (Not older than 1 year)		D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			
For Individuals [Please ✓]:	<input type="checkbox"/> I am Politically Exposed Person (PEP)^ <input type="checkbox"/> I am Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Not applicable									
For Non-Individuals [Please ✓] (Please attach mandatory Ultimate Beneficial Ownership (UBO) declaration form										
(i) Foreign Exchange / Money Changer Services	<input type="checkbox"/> Yes <input type="checkbox"/> No ^ PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.									
(ii) Gaming / Gambling / Lottery / Casino Services	<input type="checkbox"/> Yes <input type="checkbox"/> No									
(iii) Money Lending / Pawning	<input type="checkbox"/> Yes <input type="checkbox"/> No									

**YES MUTUAL FUND**

**ACKNOWLEDGMENT SLIP (To be filled in by the investor)**

Application No.:

Name	PAN NO.								
An Application for scheme	YES								
Along with Cheque / DD No. / UTR No.	Dated <table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Drawn on (Bank)	Amount ₹								

Signature, Stamp & Date

TOLL FREE NUMBER: 1800 3000 3060 | EMAIL: clientservice@yesamc.in | WEBSITE: www.yesamc.in

**SECOND APPLICANT'S DETAILS\*** (In case of Minor, there shall be no jointholders) [Name and DOB shall be as per PAN Card]

Name*										Mr.										Ms.										M/s.										Gender* (please ✓) <input type="checkbox"/> Male <input type="checkbox"/> Female																													
Date of Birth*										<input type="checkbox"/> D <input type="checkbox"/> D <input type="checkbox"/> M <input type="checkbox"/> M <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y										<input type="checkbox"/> Proof of DOB (please ✓) <input type="checkbox"/> Passport <input type="checkbox"/> Birth Certificate <input type="checkbox"/> Other <small>please specify</small>																																																	
PAN/PEKRN*										<input type="checkbox"/> KYC Proof Attached*										<input type="checkbox"/> CKYC / KIN																																																	
Pincode*										Phone (Off.)										Mobile No.*																																																	
Phone (Res)										Email ID																																																											
<b>Status:</b> (Mandatory, Please ✓)										<input type="checkbox"/> Resident Individual <input type="checkbox"/> Minor through guardian <input type="checkbox"/> Non Profit Organisation										<input type="checkbox"/> NRI-Repatriation <input type="checkbox"/> Company <input type="checkbox"/> Financial Institution										<input type="checkbox"/> NRI-Non Repatriation <input type="checkbox"/> FIs <input type="checkbox"/> NBFC										<input type="checkbox"/> Partnership <input type="checkbox"/> PIO <input type="checkbox"/> Others <small>(please specify)</small>										<input type="checkbox"/> Trust <input type="checkbox"/> Body Corporate <input type="checkbox"/> HUF <input type="checkbox"/> Society/Club										<input type="checkbox"/> AOP <input type="checkbox"/> Sole Proprietorship									
<b>Occupation:</b> (Mandatory, Please ✓)										<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Housewife										<input type="checkbox"/> Public Sector Service <input type="checkbox"/> Student										<input type="checkbox"/> Government Service <input type="checkbox"/> Forex Dealer										<input type="checkbox"/> Business <input type="checkbox"/> Others (Please specify)										<input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist										<input type="checkbox"/> Retired									
<b>Gross Annual Income:</b> (Mandatory, Please ✓)										<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs-1 crore <input type="checkbox"/> >1 crore										OR Net worth* (for Non-Individuals) ₹ <small>as on</small> <input type="checkbox"/> D <input type="checkbox"/> D <input type="checkbox"/> M <input type="checkbox"/> M <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y <small>(Not older than 1 year)</small>																																																	
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^ PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.																																																																					

**THIRD APPLICANT'S DETAILS\*** (In case of Minor, there shall be no jointholders) [Name and DOB shall be as per PAN Card]

Name* Mr. Ms. M/s.															Gender* (please ✓) <input type="checkbox"/> Male <input type="checkbox"/> Female														
Date of Birth*										<input type="checkbox"/> Proof of DOB (please ✓) <input type="checkbox"/> Passport <input type="checkbox"/> Birth Certificate <input type="checkbox"/> Other _____ (please specify)																			
PAN/PEKRN* <input type="checkbox"/> KYC Proof Attached*										CKYC / KIN																			
Pincode*										Phone (Off.)										Mobile No.*									
Phone (Res)										Email ID																			
<b>Status:</b> (Mandatory, Please ✓) <input type="checkbox"/> Resident Individual <input type="checkbox"/> NRI-Repatriation <input type="checkbox"/> NRI-Non Repatriation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> HUF <input type="checkbox"/> AOP															<input type="checkbox"/> Minor through guardian <input type="checkbox"/> Company <input type="checkbox"/> FIs <input type="checkbox"/> PIO <input type="checkbox"/> Body Corporate <input type="checkbox"/> Society/Club <input type="checkbox"/> Sole Proprietorship														
<input type="checkbox"/> Non Profit Organisation <input type="checkbox"/> Financial Institution <input type="checkbox"/> NBFC <input type="checkbox"/> Others _____ (please specify)																													
<b>Occupation:</b> (Mandatory, Please ✓) <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired															<input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others (Please specify) _____														
<b>Gross Annual Income:</b> (Mandatory, Please ✓) <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs-1 crore <input type="checkbox"/> >1 crore															OR Net worth* (for Non-Individuals) ₹ _____ as on DD MM YY YY (Not older than 1 year)														
<b>For Individuals [Please ✓]:</b> <input type="checkbox"/> I am Politically Exposed Person (PEP)^ <input type="checkbox"/> I am Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Not applicable																													

^ PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

**7. INVESTMENT & PAYMENT DETAILS\*** The name of the first/ sole applicant must be pre-printed on the cheque.

**Scheme Name:** YES \_\_\_\_\_ **Plan:** ☐ Direct ☐ Regular **Option:** ☐ Growth\* ☐ Dividend **Default Option:** ☐ Growth\* ☐ Dividend

**Dividend Frequency:** ☐ Daily<sup>2</sup> ☐ Weekly<sup>2</sup> ☐ Monthly (\$ Only Reinvestment option available) **Option:** ☐ Payout ☐ Reinvestment\* **Default Option:** ☐ Payout ☐ Reinvestment\*

**Mode of Payment: Lumpsum Only**

Payment Type [Please ✓] <input type="checkbox"/> Third Party Payment (Please attach 'Third Party Payment Declaration Form') (Please refer instruction 7)	
Amount of Cheque / DD / Payment Instrument / RTGS/ NEFT in figures (₹)	Cheque / DD / Payment Instrument No. & Date
	Drawn on Bank / Branch

**YES Asset Management (India) Ltd**

602 B, 6th Floor, Indiabulls Finance Centre (IFC) 1 & 2, Senapati Bapat Marg, Elphinstone Road (West), Mumbai - 400 013

Toll Free Number: 1800 3000 3060 | Tel. +91-22 40827666 | Fax +91-22 40827653 | [www.yesamc.in](http://www.yesamc.in)

CIN : U65990MH2017PLC294178

**8. BANK ACCOUNT DETAILS FOR PAYOUT\*** (Please attach copy of cancelled cheque)

Name of the Bank	Branch
Account No.	Account Type <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> Others
Bank Address	
Pincode	State City
MICR Code (9 digits)	*IFSC Code for NEFT / RTGS

\*This is an 11 Digit Number, kindly obtain it from your cheque copy or Bank Branch.

**9. FATCA AND CRS INFORMATION\*** (for Individual including Sole Proprietor) (Self Certification) (For Non - Individual separate form to be submitted)

The below information is required for all applicant(s)/ guardian

Address Type: ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office (for address mentioned in form/existing address appearing in Folio)

Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? ☐ Yes ☐ No

If Yes, please provide the following information [Mandatory]

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below

Category	First Applicant (including Minor)	Second Applicant/ Guardian	Third Applicant
Place/ City of Birth			
Country of Birth			
Country of Tax Residency*			
Tax Payer Ref. ID No			
Identification Type [TIN or other, please specify]			
Country of Tax Residency 2			
Tax Payer Ref. ID No. 2			
Identification Type [TIN or other, please specify]			
Country of Tax Residency 3			
Tax Payer Ref. ID No. 3			
Identification Type [TIN or other, please specify]			
If TIN is not available, Please tick the reason A, B or C (as defined below)	Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C

#To also include USA, where the individual is a citizen/ green card holder of USA. \*In case Tax Identification Number is not available, kindly provide its functional equivalent.

Reason A: The country where the Account holder is liable to pay tax does not issue Tax Identification Number to its residents.

Reason B: No TIN required. (Section this reason Noly 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 therefore

For Non-Individual investors, please fill in UBO form along with FATCA/ CRS annexure and attach along with Application form available on our website [www.yesamc.in](http://www.yesamc.in)

**10. NOMINATION DETAILS\*** (To be filled in by individuals singly or jointly. Mandatory only for Investors who opt to hold units in Non-Demat)

☐ I/We do not wish to nominate OR I/We do hereby nominate the undementioned Nominee(s) to receive the Units allotted to my/our credit in my/our folio in the event of my/our death. I/We also understand that all payment and settlements made to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be a valid discharge by the AMC/Mutual Fund/Trustees.

Nominee Details*	Nominee 1	Nominee 2	Nominee 3
Name			
Address			
PAN			
Date of Birth			
Relationship			
Proportion (%)*			
Name and Address of Guardian (to be furnished in case the nominee is minor)			
Signature of Guardian / Nominee			

\* (%) by which the units will be shared by each nominee (% to aggregate to 100%)

**11. DECLARATION AND SIGNATURES\***

I/We hereby confirm and declare as under:- I/We have read and understood the contents of the Statement of Additional Information of YES Mutual Fund and the Scheme Information Document(s)/Key Information memorandum of the respective Scheme(s) and Addenda thereto, issued from time to time and the Instructions. I/We, hereby apply to the Trustee of YES Mutual Fund for allotment of units of the respective Scheme(s) of YES Mutual Fund, as indicated above and agree to abide by the terms, conditions, rules and regulations of the relevant Scheme(s). I/We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I/We declare that I am/We are authorised to make this investment and the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directions or any other applicable laws enacted by the Government of India or any Statutory Authority. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme(s) is/are being recommended to me/us. I/We declare that the information given in this application form is correct, complete and truly stated. In the event of my/our not fulfilling the KYC process to the satisfaction of the AMC/YES Mutual Fund, I/We hereby authorise the AMC/YES Mutual Fund to redeem the units against the funds invested by me/us at the applicable NAV as on the date of such redemption. I/We agree that YES Mutual Fund can debit from my Folio Transaction Charges as applicable. I/We agree to notify YES Asset Management (India) Limited immediately in the event the information in the self-certification changes. For investors investing in Direct Plan: I/We hereby agree that the AMC has not recommended or advised me/us regarding the suitability or appropriateness of the product/scheme/plan. Applicable to Micro Investors: I/We hereby declare that I/We do not have any existing Micro investments which together with the current application will result in aggregate investments exceeding Rs. 50,000 in a year. Applicable to NRIs: I/We confirm that I am/We are Non-Resident(s) of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account(s). FATCA and CRS Declaration: I/We hereby acknowledge and confirm that the information provided in this form is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We shall be liable for it. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end. I/We hereby authorise you to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees ('the Authorised Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities and other investigation agencies without any obligation of advising me/us of the same.

Signature(s)

1 <sup>st</sup> Applicant Signature / Guardian Signature	2 <sup>nd</sup> Applicant Signature	3 <sup>rd</sup> Applicant Signature	POA Signature
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Date









Place

**12. CHECKLIST**

- ☐ Application Form is complete in all respect. Name, address & contact details are mentioned in full and signed by all applicants.
- ☐ Bank account details stated are complete and correct. In case investment cheque is from a different bank account, original cancelled cheque copy is attached.
- ☐ Permanent Account Number (PAN) for all applicants as applicable is mentioned.
- ☐ Preferred investment option i.e. whether Growth or Dividend Payout or Dividend Re-investment is mentioned clearly.
- ☐ The cheque / demand draft should be drawn favouring the name of the scheme & crossed as "Account Payee Only", dated and duly signed.
- ☐ Application Number / Folio Number and applicant's name and / or PAN is mentioned on the reverse of each cheque.
- ☐ Demat A/c details are filled correctly in the form. Please provide self attested Client Masterlist Copy (where applicable).
- ☐ Details of applicants provided matches exactly with those in the Depository.

Documents	Individuals	Companies	Societies	Partnership Firms	Investments through PoA	Trust	NRI	FII(s)/FPI	Sole Proprietor	Minor
Resolution / Authorisation to invest		✓	✓	✓		✓		✓		
Trust Deed						✓				
Bye - Laws			✓							
Partnership Deed				✓						
SEBI Registration / Designated Depository Participant Registration Certificate								✓		
Proof of Date of birth										✓
Notarised Power of Attorney					✓					
Foreign Inward Remittance Certificate, in case payment is made by DD from NRE / FCNR a/c, where applicable							✓			
KYC Acknowledgement	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Demat Account Details (Client Master List Copy) <sup>3</sup>	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
FATCA CRS/UBO Declaration		✓	✓	✓	✓	✓	✓	✓	✓	✓

<sup>1</sup> Self attestation is mandatory. <sup>2</sup> Copy of SEBI registration certificate (for FII) or Designated Depository Participant registration certificate (for FPI) should be provided. <sup>3</sup> In case Units are applied in Electronic (Demat) mode.