

# Investment Services Account Form



## Details of Applicant

INVESTMENT A/C NO.

1st Holder Name

PAN  CUSTOMER ID

2nd Holder Name

PAN  CUSTOMER ID

3rd Holder Name

PAN  CUSTOMER ID

Status  Resident  NRE  NRO  HUF/AOP  On Behalf of Minor  Authorised Signatory

Sole Proprietorship  Public Limited  Private Limited

Mode of Holding  Singly  Jointly  Either or Survivor  As per Board Resolution  Others

(Only for Non Individual)

Name of Organization

CUSTOMER ID

Entity Details

Details applicable for All Holders

Are you/isthe entity a resident in any country other than India for Tax purposes  Yes  No

If Yes, Please indicate all countries, in which you/entity are resident for Tax purposes and the associated Foreign Tax Identification number below:

Customer Signature

## FATCA Declaration

	Country of Tax Residency	Tax Identification Number	Identification Type
1st Holder			
2nd Holder			
3rd Holder			

## Nomination Yes No

Name of the Nominee	Relationship with Applicant	Date of Birth	Mobile number Nominee	Email Id of Nominee	% of Nominee	PAN/Aadhar (Last 4 digit)/Driving License number/Passport	If the Nominee is a Minor		
							Name & Address of the Guardian	Relationship with Guardian	Guardian PAN
1st Nominee									
2nd Nominee									
3rd Nominee									

## Risk Profiler

At RBL Bank, it is essential to have a clear understanding of your background & financial situation to provide you with Investment product in the most effective way. This may include understanding your personal data such as fincnces & wealth, family history as well as your investment horizon and appetite for risk. In order to assist you in this direction, please fill-in this risk-profiling questionnaire. By answering these questions, your investment risk profile can be developed. This profile forms the basis for us to provide suitable portfolios which matches with your background, risk profile and investment horizon.

Please Note: Risk Profiler is optional for Non Individuals

Q1: Which age range do you fall in?

Asset allocation Score	Response
10	Above 60
20	Between 50 and 59
25	Between 40 and 49
35	Between 30 and 39
40	Below 30

Q3: Your present job or business is?

Asset allocation Score	Response
10	is not dependable
15	is relatively secure
25	is secure
35	doesn't matter as you already have enough wealth
45	doesn't matter as you can easily find an equaily good new Job/Career

Q5: I plan to begin withdrawing money from my investments within?

Asset allocation Score	Response
40	Less than 3 years
30	3-5 years
20	6-10 years
15	More than 10 years

Q2: How would you describe your present income?

Asset allocation Score	Response
25	More than sufficient to cover my living expenses
15	Sufficient to cover my living expenses
10	Not sufficient to cover my living expenses

Q4: Normally, what percentage of your monthly household income could be available for investment or savings?

Asset allocation Score	Response
10	0%
20	Between > 0% and 10%
25	Between > 10% and 25%

Q6: What is the main reason for you investing in the financial market?

Asset allocation Score	Response
10	I depend on my investments to supplement my cash flow
15	I depend on my investment to supplement my future income
25	I want to save for the "Emergency"
30	I want to protect the value of my capital
40	I want to grow my capital

Q7: How good is your knowledge of finance & capital markets?

Asset allocation Score	Response
40	I am expert in the field of finance & markets
30	I am a proficient in finance & markets
20	I have average knowledge in finance & markets as I keep updated myself updated about the developments through newspapers, journals, media etc.
10	Limited to knowing things like how the stock market or certain select scripts are moving
5	No knowledge

Q8: How would a sharp drop in your investments affect you?

Asset allocation Score	Response
5	Very much
10	I would be disappointed
20	Little bit as you are aware of market volatility
25	It would not affect me

Your Scoring Results:	80-150	151-240	240+
Your Risk Profile	Conservative	Balanced	Aggressive
Asset allocation % age basis Risk profile			
Equities	25%	45%	65%
Fixed Income	65%	40%	15%
Money Market/Liquid	5%	5%	5%
Alternative Investments	5%	10%	15%
Total	100%	100%	100%

I agree that though I have been profiled Conservative/Balanced/Aggressive but I would like to make investments as per the Conservative/Balanced/Aggressive profile. The Risk Profile, Asset allocation and scheme selection are purely done to assess my risk appetite and I agree that will take independent decisions irrespective of the Risk Profile and the Bank will not be liable for allocating or maintaining allocation of funds as per Asset Allocation.

Signature(s):

With Company Seal Wherever applicable

1st Holder/Signatory

2nd Holder/Signatory

3rd Holder/Signatory

**MF Online Investment Mandate Form - (Only For Individuals)**

MF Online Investment Mandate Form (Only For Individuals)  Yes  No

- (i) I agree and declare that any and all tax liability will be my/ our sole responsibility. I shall execute and deliver to the Bank, from time to time such other documents as may be specified by the Bank for compliance or updating of records if any.
- (ii) I hereby authorise RBL Bank to register me/us for availing the online investment services wherein I will be permitted to give electronic instruction to the Bank or executing various investment transactions such as -purchase, redemption, change from online to offline and vice versa.
- (iii) I am aware and accept the risks associated with providing electronic instructions and hereby indemnify and hold harmless RBL Bank and/or its directors, employees, officers, representatives, agents from any loss arising out of the transactions conducted by RBL Bank based on my instructions.
- (iv) I authorize RBL Bank to link all my existing bank account(s) maintained by me to the Investment Services Account and to transfer funds in any form and manner for purchase of investment products. I understand and agree that the account mentioned at the time of creating the online folio will be used for processing transactions including debits/credits for purchase, redemption, switch, receipt of dividends, or any such activity related to mutual fund units, as per the instructions issued by me to RBL Bank from time to time. I agree that the bank account linked to the Investment Services Account will not be closed till the time all my investment holdings are either redeemed or transferred to physical form method. In the case of joint account holders, I, the second and third holders irrevocably constitute the first holder as my/our agent and will not raise any objections to the bank acting on such instructions.

I agree that and understand not to hold RBL Bank liable for any loss or damage caused by reason of arising from failure or delay on the part of any third party(ies), including but not limited to company/entities to deliver any units purchased or delay of any company/entities to make payment for any units surrendered and shall keep RBL Bank harmless and indemnified from any such claim in respect thereof. I agree and understand that the instructions/mandate authority issued to RBL Bank is subject to the terms and conditions as specified on RBL Bank's Website (www.rbl.bank.in) and shall abide by the same. I/ We agree and confirm that the bank account linked to the Investment Services Account will not be closed till the time all my investment holdings are either fully redeemed or transferred to a physical form method.

**Declaration:** I/We hereby appoint **RBL Bank Limited ("RBL Bank")** as my/our authorized agent to purchase and redeem mutual fund units on my/our behalf, based on instructions provided by me/us to RBL Bank from time to time, in accordance with the terms and conditions herein and as updated on RBL Bank's Website. All transactions executed by the RBL Bank shall be at my/our sole risk and cost, and I/we agree to pay applicable charges as per RBL Bank's fee schedule, which may be revised and communicated via email or website, and are in addition to any fees charged by Asset Management Companies. I/We confirm that I/we have understood the requirements under FATCA, CRS, UBO, and KYC, and that the information provided is true and complete. I undertake to inform, in writing, of any change in the particulars furnished above.

I accept full responsibility for any tax implications arising from transactions, in accordance with applicable laws including the Income Tax Act, 1961, and agree to furnish any additional documents as required by RBL Bank. I acknowledge that I am bound by the terms of the Investment Services Account and will perform our own assessment of product risks and features before investing. I/We understand that RBL Bank acts as a distributor for mutual funds and a referral partner for other products, and that details of commissions earned by RBL Bank are available on its website (www.rbl.bank.in) or with relationship managers. I/We authorize RBL Bank or its agents to make necessary references, enquiries, or disclosures to credit bureaus, regulatory bodies, or other agencies, including withholding agents, as deemed appropriate.

Disclaimers: Investment products are subject to market risks including the possible loss of the principal amount invested. Past performance is not indicative of future results, prices can go up or down. Please read the Key Information Memorandum(s)/Scheme Investment Document(s) & Statement of Additional Information/ Term Sheet/ Prospectus carefully before investing. Under no circumstances shall RBL Bank not its officers have any liability or responsibility to any person for any direct, indirect, special, consequential or incidental loss, damages whatsoever, resulting from the investment product.

**For Bank Use Only**

Date

RM Name

RM Code

Home Branch Code

I have met Mr. / Ms. \_\_\_\_\_ in person. I hereby confirm the identity and address.

The form has been filled and signed in my presence.

Checked by

Signature Verified should be (BM / SDM)

Emp. ID

Form Received Date

Customer Segment

Dispatch Date