



Self Certification Declaration

PART I : APPLICANT / INVESTOR DETAILS :

PART II : DECLARATIONS

(A) Particulars (Must check one box)

Is "Entity" a tax resident of any country other than India? Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Category			
Applicants	Country of incorporation/constitution	Country of Tax residency	Taxpayer Identification Number #
1.			
2.			
3.			

in case Taxpayer Identification Number is not available, kindly provide functional equivalent or Company Identification Number or Global Entity Identification Number

(B) Other Information (Must check one box "YES" to indicate entity's applicable FATCA status)

S. No.	Information	Additional Information to be provided
1.	We are a financial institution [including an FFI] [Refer instructions a]	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please provide the following information:</p> <p>GIIN: _____</p> <p>(Global Intermediary Identification Number)</p> <p>If GIIN not available [tick any one]:</p> <p><input type="checkbox"/> Applied for on D D M M Y Y Y Y</p> <p><input type="checkbox"/> Not required to apply (please describe) _____</p> <p><input type="checkbox"/> Not obtained</p>
2.	We are a listed company [whose shares are regularly traded on a recognized stock exchange]	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes, specify the name of any one Stock Exchange where it is traded regularly:</p> <p>1. BSE/NSE/Other _____ (please specify)</p>
3.	We are 'Related Entity' of a listed company	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes, specify the name of the listed company _____</p>
	[Refer instructions b]	<p>Specify the name of any one Stock Exchange where it is traded regularly:</p> <p>1. BSE/NSE/Other _____ (please specify)</p>
4.	We are an Active NFFE [Refer instructions c & d]	<p><input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please fill UBO form)</p> <p>If Yes, specify the nature of business _____</p> <p>Please specify the category of Active NFFE _____</p> <p>(Mention code – refer instructions)</p>
5.	We are an Passive NFFE [Refer instructions f and g]	<p><input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please fill UBO form)</p> <p>If Yes, please provide:</p>
	1. Nature of business _____	
	2. For all Controlling Persons who are tax residents (including US citizens and green card holders) of countries other than India, please provide the necessary details including Taxpayer Identification Number (TIN) in the UBO form.	

I/We hereby acknowledge and confirm that the information provided hereinabove is/are true and correct to the best of my knowledge and belief. I/We further agree and acknowledge that in the event, the above information and/or any part of it is/are found to be false/untrue/misleading, I/We will be liable for the consequences arising therefrom. I/We hereby authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/updates that may be provided by me/us to Mutual Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, SEBI registered intermediaries for single updation/submission, any Indian or foreign statutory, regulatory, judicial, quasi-judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. I/We further agree to promptly intimate you in writing regarding any change/modification to the above information and/or provide additional/further information as and when required by you.

Signature with relevant seal:

Authorized Signatory	Authorized Signatory	Authorized Signatory
----------------------	----------------------	----------------------

INSTRUCTIONS

- a. Foreign Financial Institution [FFI] – Means any non-US financial institutions that is a – (1) Depository institution – accepts deposits in the ordinary course of banking or similar business; (2) Custodian institution - as a substantial portion of its business, hold financial assets for the accounts of others; (3) Investment entity – conducts a business or operates for or on behalf of a customer for any of the activities like trading in money market instruments, foreign exchange, foreign currency, etc. or individual or collective portfolio management or investing, administering or managing funds, money or financial assets on behalf of other persons; or an entity managed by this type of entity; or (4) Insurance company – entity issuing insurance products i.e. life insurance; (5) Holding or Treasury company – entity that is part of an expanded affiliate group that includes a depository, custodian, specified insurance company or investment entity
- b. Related Entity - an entity is a "Related Entity" of another entity if one controls the other, or the two entities are under common control (where control means direct or indirect ownership of more than 50% of the vote or value in an entity)
- c. Non-financial foreign entity [NFFE] – Non-US entity that is not a financial institution [including a territory NFFE]. Following NFFEs are excluded from FATCA reporting – (a) Publicly traded corporation / listed companies; (b) Related Entity of a listed company; and (c) Active NFFE
- d. Active NFFE – Any one of the following –

Code	Sub-Category
01	Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income
02	The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory
03	The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing
04	Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes
05	The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE
06	The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution
07	The NFFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution
08	<ul style="list-style-type: none"> – Any NFFE is a 'non for profit' organization which meets all of the following requirements: <ul style="list-style-type: none"> • It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; • It is exempt from income tax in its jurisdiction of residence; • It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; • The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and

The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents require that, upon the NFFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFFE's jurisdiction of residence or any political subdivision thereof.

- e. Expanded affiliated group – One or more chains of members connected through ownership (50% or more, by vote or value) by a common parent entity if the common parent entity owns stock or other equity interests meeting the requirements in atleast one of the other members
- f. Passive NFFE - means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations
- g. Passive Income – portion of gross income that consists of dividends, interest, rents and loyalties (other than rents and loyalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE), income equivalent to interest / amount received from pool of insurance contracts, annuities, excess of gains over losses from the sale or exchange of property / from transactions (including futures, forwards or similar transactions) in any commodities but not including (i) any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation or (ii) active business gains or losses from the sale of commodities but only if substantially all the foreign entity's commodities are property, excess of foreign currency gains over losses, net income from notional principal contracts, amounts received under cash value insurance contracts, amounts earned by insurance company in connection with its reserves for insurance and annuity contracts
- h. Controlling Persons - means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.



PART I : APPLICANT / INVESTOR DETAILS :

PART II : APPLICABLE FOR LISTED COMPANY / ITS SUBSIDIARY COMPANY ONLY

- (i) I / We hereby declare that -

 - Our Company is Listed Company listed on recognized stock exchange in India
 - Our Company is a subsidiary of the Listed Company
 - Our Company is controlled by a Listed Company

- (ii) Details of Listed Company^

Stock Exchange on which listed _____ security ISIN _____

[^] The details of holding / parent Company to be provided in case the applicant / investor is a Subsidiary Company.

PART III : APPLICABLE FOR NON-INDIVIDUALS OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY

- (i) Category [Please tick (✓) applicable category]:

Unlisted Company Partnership Firm Limited Liability Partnership Company Unincorporated association / body of individuals Public Charitable Trust
 Religious Trust Private Trust Private Trust created by a Will Others (Please specify) _____

- (ii) Details of Ultimate Beneficiary Owner

(In case the space provided is insufficient, please provide the information by attaching separate declaration forms)

	1	2	3	4
Name of UBO [Mandatory] Along with Designation / Position wherever applicable				
UBO Code [Refer instruction 3]				
PAN or any other valid ID proof for those where PAN is not applicable ¹				
KYC (Yes/No) ²				
Taxpayer Identification Number ³				
Country of Tax Residency [CTR]				
CP / UBO Code [Refer Instruction E]				
Country of Birth [COB]				
Date of Birth [dd- mm-yyyy]				
Country of Permanent Address [CPA]				
Gender [Male, Female, others]				
Father's Name				
Occupation [Service, Business, Others]				
Percentage of Holding (%) ⁴				

¹ If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

2 If UBO is not KYC compliant, request to complete KYC formalities and send the intimation to SBFS / Fund. Attach valid address proof

3 If UBO is resident / citizen of 'other than India' or citizen/tax resident/green card holder of USA, please provide Taxpayer ID Number / US Social Security Number [SSN]

4 Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary.

Note: Attached documents should be self-certified by the UBO and certified by the Applicant/Investor Authorized Signatory/ies.

PART IV: DECLARATION

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after consulting necessary tax professionals, read & understood the FATCA terms and conditions. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize 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 / associated parties / RTAs ('the Authorized 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 in India or outside India and other investigation agencies without any obligation of advising me/us of the same. Further, I/We, authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / update & for other relevant purposes. 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 / documentary proof as may be required at your end.

Authorized Signatories [with Company/Trust/Firm/Body Corporate seal]

Authorized Signatory [Name/ Company Name/ Title/ Corporate Seal]		
Authorized Signatory	Authorized Signatory	Authorized Signatory
Place _____	Date <input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	

GENERAL INFORMATION & INSTRUCTIONS000

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non- individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs / UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and / or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

1. Ultimate Beneficiary Owner [UBO]:

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of / entitlement to:
 - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors; viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client

2. KYC requirements

Beneficial Owner(s) is / are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s).

3. Controlling Person Type [CP / UBO] Codes:

UBO Code	Description
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-other-settlor equivalent
10	CP of legal arrangement-other-trustee equivalent
11	CP of legal arrangement-other-protector equivalent
12	CP of legal arrangement-other-beneficiary equivalent
13	CP of legal arrangement-other-other equivalent
14	Unknown



BNP Paribas Asset Management India Private Limited
BNP Paribas House, 1 North Avenue, Maker Maxity, Bandra Kurla Complex,
Bandra (East), Mumbai - 400 051, Maharashtra, India.
Toll Free: 1800 102 2595 • Web : www.bnpparibasmf.in
E-mail: customer.care@bnpparibasmf.in



INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for amin or, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (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.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

F. In case of Non-Individuals, additional documents to be obtained from Non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations • Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly • Copies of the Memorandum and Articles of Association and certificate of incorporation • Copy of the Board Resolution for investment in securities market • Authorised signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only) • Copy of partnership deed • Authorised signatories list with specimen signatures • Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered trust only). Copy of Trust deed • List of trustees certified by managing trustees/CA • Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> • PAN of HUF • Deed of declaration of HUF/List of coparceners • Bank pass-book/bank statement in the name of HUF • Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document • Resolution of the managing body & Power of Attorney granted to transact business on its behalf • Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

- Residence/Driving License/Flat Maintenance bill/Insurance Copy.
- 2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- 3. Bank Account Statement/Passbook - Not more than 3 months old.
- 4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- 6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- 7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
- 8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____

PAN of the Applicant

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

Name & Signature of the Authorised Signatory(ies)

Date / / / /



Place for
Intermediary Logo

DATE : / / /

1. UNIT HOLDER INFORMATION
a. EXISTING UNIT HOLDER INFORMATION

PAN

Any information provided at PAN level, will be updated in all the Folios where the PAN is Registered.

b. NAME OF FIRST / SOLE APPLICANT

Mr. Ms. M/s.

Application Form No.
2. FIRST/ SOLE APPLICANT OTHER DETAILS (Mandatory)
a. Status of First/ Sole Applicant [Please tick (✓)] Individual Non - Individual

 Resident Individual NRI-Repatriation NRI-Non Repatriation Partnership Trust HUF AOP PIO Company FII Minor through guardian BOI OCI
 Body Corporate LLP Society / Club FPI Sole Proprietorship Non Profit Organisation Others _____ (please specify)

b. Occupation Details [Please tick (✓)] Service Private Sector Public Sector Government Service Student Professional Housewife Business
 Retired Agriculture Proprietorship Others _____ (please specify)

c. Gross Annual Income (Rs.) [Please tick (✓)] Below 1 Lakh 1 - 5 Lakhs 5 - 10 Lakhs 10 - 25 Lakhs >25 Lakhs - 1 Crore >1 Crore

OR

c. Net-worth (Mandatory for Non-Individuals) Rs. _____ as on _____ DD MM YYYY (Not older than 1 year)
d. Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors) I am PEP I am Related to PEP Not Applicable

e. Investors involved/ providing any of the mentioned services
 Wholesalers OR Retailers in Precious metals (in particular buying-selling gold) and gems Wholesalers OR Retailers in Luxury cars
 Wholesalers OR Retailers in Boats Wholesalers OR Retailers in Race-horses Wholesalers OR Retailers in Jewellery

 Money Service Businesses (MSB) & their agents (excluding Banks) Currency dealers or exchanges Sellers or redeemers of traveler's cheques
 Money orders / remittance services

 Pawn shops Street market stall Hotels Restaurants Internet cafés Door-to-door sales companies Taxi Bars Night-clubs
 Second-hand goods sales Second-hand vehicle dealers (excluding automobile franchise)

 Casinos Lotteries Gaming clubs Slot machines Antiques Art galleries Art dealers Auctioneer Art expert

3. DETAILS OF SECOND APPLICANT, If any
a. Occupation Details [Please tick (✓)] Service Private Sector Public Sector Government Service Student Professional Housewife Business
 Retired Agriculture Proprietorship Others _____ (please specify)

b. Gross Annual Income (Rs.) Below 1 Lakh 1 - 5 Lakhs 5 - 10 Lakhs 10 - 25 Lakhs >25 Lakhs - 1 Crore >1 Crore **OR** Net worth Rs. _____

c. Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors) I am PEP I am Related to PEP Not Applicable

d. Investors involved/ providing any of the mentioned services
 Wholesalers OR Retailers in Precious metals (in particular buying-selling gold) and gems Wholesalers OR Retailers in Luxury cars
 Wholesalers OR Retailers in Boats Wholesalers OR Retailers in Race-horses Wholesalers OR Retailers in Jewellery

 Money Service Businesses (MSB) & their agents (excluding Banks) Currency dealers or exchanges Sellers or redeemers of traveler's cheques
 Money orders / remittance services

 Pawn shops Street market stall Hotels Restaurants Internet cafés Door-to-door sales companies Taxi Bars Night-clubs
 Second-hand goods sales Second-hand vehicle dealers (excluding automobile franchise)

 Casinos Lotteries Gaming clubs Slot machines Antiques Art galleries Art dealers Auctioneer Art expert

4. DETAILS OF THIRD APPLICANT, If any

- a. Occupation Details [Please tick (✓)]** Service Private Sector Public Sector Government Service Student Professional Housewife Business
 Retired Agriculture Proprietorship Others _____ (please specify)
- b. Gross Annual Income (Rs.)** Below 1 Lakh 1 - 5 Lakhs 5 - 10 Lakhs 10 - 25 Lakhs >25 Lakhs - 1 Crore >1 Crore **OR** Net worth Rs. _____
- c. Politically Exposed Person (PEP) Status** (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors) I am PEP I am Related to PEP Not Applicable
- d. Investors involved/ providing any of the mentioned services**
- | | | |
|--|--|---|
| <input type="checkbox"/> Wholesalers OR <input type="checkbox"/> Retailers in Precious metals (in particular buying-selling gold) and gems | <input type="checkbox"/> Wholesalers OR <input type="checkbox"/> Retailers in Luxury cars | |
| <input type="checkbox"/> Wholesalers OR <input type="checkbox"/> Retailers in Boats | <input type="checkbox"/> Wholesalers OR <input type="checkbox"/> Retailers in Race-horses | |
| <input type="checkbox"/> Money Service Businesses (MSB) & their agents (excluding Banks) | <input type="checkbox"/> Currency dealers or exchanges | <input type="checkbox"/> Sellers or redeemers of traveler's cheques |
| <input type="checkbox"/> Money orders / remittance services | | |
| <input type="checkbox"/> Pawn shops <input type="checkbox"/> Street market stall <input type="checkbox"/> Hotels <input type="checkbox"/> Restaurants <input type="checkbox"/> Internet cafés <input type="checkbox"/> Door-to-door sales companies | <input type="checkbox"/> Taxi <input type="checkbox"/> Bars <input type="checkbox"/> Night-clubs | |
| <input type="checkbox"/> Second-hand goods sales <input type="checkbox"/> Second-hand vehicle dealers (excluding automobile franchise) | | |
| <input type="checkbox"/> Casinos <input type="checkbox"/> Lotteries <input type="checkbox"/> Gaming clubs <input type="checkbox"/> Slot machines <input type="checkbox"/> Antiques <input type="checkbox"/> Art galleries <input type="checkbox"/> Art dealers <input type="checkbox"/> Auctioneer <input type="checkbox"/> Art expert | | |

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

First / Sole Applicant / Guardian

Second Applicant

Third Applicant

INSTRUCTIONS

In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/networkworth and Politically Exposed Person (PEP)* status mentioned under section 2 & 3 which was forming part of uniform KYC form will now be captured in the application form of the Fund. Also, the detail of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc., (applicable for all applicants) is required to be provided as part of Client Due Diligence (CDD) Process of the Fund.

The said details are mandatory for both Individual and Non Individual applicants.

*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.