

ARN - 16709

E039709

(Mandatory for Non-Individuals)

To be filled in BLOCK LETTERS (Please strike off section(s) that is/ are not applicable)

Part I. Investor Details

Investor Name: _____

PAN:

--	--	--	--	--	--	--	--	--	--

Part II. Listed Company/ its Subsidiary Company

We hereby declare that

Our company is a Listed Company listed in () NSE () BSE () Others _____ [Please specify]

Our company is a subsidiary of a Listed Company [_____ <Specify the name of the Listed Company >]

Our company is controlled by a Listed Company [_____ <Specify the name of the Listed Company>]

None of the above

If 'None of the above' option is selected, the following information [Part III] shall be provided mandatorily as applicable

Part III: Non-individuals other than Listed Company/ its subsidiary company

Category [tick applicable category]:

Unlisted Company

Partnership Firm/ Limited Liability Partnership Company

Unincorporated association/ body of individuals

Public Charitable Trust

Religious Trust

Private Trust

Trust created by a Will

Others _____ [please specify]

Details of Ultimate Beneficiary Owners*

Sr. No.	Name of UBO [Mandatory] Along with Designation/ Position wherever applicable	PAN or any other valid ID proof for those where PAN is not applicable#1 [Mandatory if KYC proof is not enclosed]	Taxpayer Identification Number#2	Country of Tax Residency [CTR]/ Permanent Address [CPA]/ Country of Birth [COB]	UBO Code [Refer instruction E]	Percentage of Holding#3 (%) [Enclose appropriate proof]	KYC (Yes/No) #4 [Please attached KYC acknowledgement copy/ address proof]
				CTR: CPA: COB:			
				CTR: CPA: COB:			
				CTR: CPA: COB:			
				CTR: CPA: COB:			
				CTR: CPA: COB:			

#1. If UBO is already KYC compliant, KYC Complied 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 any of the UBO is resident / citizen of 'other than India' or citizen/tax resident/green card holder of United States of America [USA], please provide Taxpayer ID Number/ US Social Security Number [SSN].

#3. Submit documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary.

#4. If UBO is not KYC compliant, UBO shall complete the KYC formalities and send the intimation to CAMS / respective Mutual Funds. Also enclose necessary address proof.

*If the given rows are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory

*Note that some of the Mutual Funds may call for additional information/documentation wherever required or if the given information is not clear / incomplete / incorrect and you may have provide the same as and when solicited

I/We acknowledge and confirm that the information provided above is/are 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 am/are aware that I/We may liable for it. I/We hereby authorize sharing of the information furnished in this form with all SEBI Registered Intermediaries and they can rely on the same. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or reverse the allotment of units, if subsequently it is found that applicant has concealed the facts of beneficial ownership. 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.

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

✓ Authorized Signatory _____ Authorized Signatory _____ Authorized Signatory _____

Date: ____/____/____ Place: _____

Instructions

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 ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such 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.

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 settlor 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

D. 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).

E. UBO Codes:

UBO Code	Description
UBO-1	Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company
UBO-2	Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership
UBO-3	Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an unincorporated association or body of individuals
UBO-4	Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under clause 4 (a) 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]
UBO-5	Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]
UBO-6	The settlor(s) of the trust
UBO-7	Trustee(s) of the Trust
UBO-8	The Protector(s) of the Trust [if applicable].
UBO-9	The beneficiaries with 15% or more interest in the trust if they are natural person(s)
UBO-10	Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership