

Application Type:☐ New☐ Modification**KYC Mode:**☐ Normal☐ EKYC OTP☐ EKYC Biometric☐ Offline EKYC☐ Digilocker☐ Online KYC**Entity Details (IN CAPITAL LETTERS)** - Please refer guidelines overleaf for more information

PAN:

Name*: (same as ID proof)

Date of Incorporation:

 - -

Place of Incorporation:

Date of Commencement:

 - -

Country of Incorporation:

Registration Number:

Entity Type*:

☐ Private Ltd. Co.☐ Trust/Charity/NGO☐ Public Ltd. Co.☐ Body Corporate☐ Partnership☐ FPI Category I☐ Government Body☐ FPI Category II☐ AOP☐ HUF☐ Body of Individuals☐ Liquidator☐ Society☐ LLP☐ Bank☐ Section 8 Company☐ Non-Government Organization☐ Others _____**Proof of Identity*** - Please refer guidelines overleaf for more information☐ Officially Valid Document(s) in respect of person authorized to transact☐ Certificate of Incorporation/Formation _____☐ Registration Certificate _____☐ Memorandum of Articles and Association☐ Partnership Deed☐ Trust Deed☐ Board Resolution☐ Power of attorney granted to its manager, office, employees to transact on its behalf☐ Activity Proof -1+ (For Sole Proprietorship Only)☐ Activity Proof -2+ (For Sole Proprietorship Only)**Address Details* (IN CAPITAL LETTERS)** - Please refer guidelines overleaf for more information**A. Registered Address***

Address 1*

Address 2

Address 3

City/Town/Village*

District

Pincode*

State*

Country*

Address Type
(For KYC Address)☐ Residential☐ Registered Office☐ Business**Proof of Registered Address*** (attested copy of any one POA to be submitted—#Not more than 3 months old)☐ Certificate of Incorporation/Formation☐ Registration Certificate☐ Other document _____

B. Correspondence/Local Address in India (if different from A)*

Address 1*

Address 2

Address 3

City/Town/Village*

District

Pincode*

State*

Country*

Address Type
(For KYC Address)

Residential

Registered Office

Business

Proof of Correspondence Address* (attested copy of any one POA to be submitted—#Not more than 3 months old)☐ Certificate of Incorporation/Formation ☐ Registration Certificate ☐ Other document _____☐ Latest Telephone Bill# (Landline only) ☐ Latest Electricity Bill # ☐ Latest Bank Account Statement#☐ Registered Lease/ Sale Agreement of Office Premises **Validity/Expiry Date of POA**
(Expiry Date) - - - - - ☐ Any other proof of address document (notified by Central Govt.) _____**Contact Details (IN CAPITAL LETTERS)**

Email ID:

Mobile No.:

Email ID:

Mobile No.:

Tel (Off):

Fax:

Annexures Submitted

No. of Related Persons:

Remarks/ Additional Information (IN CAPITAL LETTERS)**Applicant Declaration (IN CAPITAL LETTERS)**

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.

I hereby declare that I am not making this application for the purpose contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address. I also providing consent to MF/AMC/KRA to share this KYC data with CKYCR, download the information from CKYCR and other participating intermediaries as mandated by PMLA Act/ Rules/SEBI guidelines.

Place:

Date:

NAME &
DESIGNATIONNAME &
DESIGNATION

Signatures

Signatures

For Intermediary Use Only (IN CAPITAL LETTERS)**IPV carried out by***

IPV Date:

Employee Code

Employee Name

Employee Designation

Employee Signature

Documents Received☐ Self certified ☐ Equivalent e-document☐ Attested true copies of documents received**Intermediary Details***

Intermediary Name, Code & Seal:

Additional KYC Information

Gross Annual Income: ☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 10-25 Lacs ☐ Above 1 Cr

Networth: As on (Not more than 1 year): - -

PEP Status: ☐ PEP ☐ Related to PEP ☐ Not Applicable

Entity involved in: ☐ Foreign Exchange/ Money Changer Services ☐ Money Lending/ Pawning
☐ Gaming/ Gambling/ Lottery/ Casino Services ☐ None of the above

FATCA & CRS Declaration (IN CAPITAL LETTERS) - Please refer guidelines overleaf for more information

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

If "Yes", please fill 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

SL No.	Country of Tax Residency	Tax Identification Number (TIN) 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)
1				Reason ☐ A ☐ B ☐ C
2				Reason ☐ A ☐ B ☐ C
3				Reason ☐ A ☐ B ☐ C

Reason A- The country where the Account Holder is liable to pay tax does not issue TIN to its residents.

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

Reason C- Others- Please specify the reasons _____

Part - A (to be filled by Financial Institutions or Direct Reporting NFEs)

Please tick as appropriate ☐ We are a Financial institution (Refer 1 of Part C) ☐ Direct reporting NFE (Refer 3(vii) of Part-C)	GIIN: Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below. Name of sponsoring entity _____
GIIN not available (if the institution is a financial institution) (please tick as applicable)	☐ GIIN Applied for ☐ Not obtained – Non-participating FI ☐ Not required to apply for - please specify 2 digits sub-category (Refer 1 A of Part C)

Part - B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	☐ YES (If yes, please specify the below details) Name of stock exchange _____
2	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	☐ YES Name of listed company _____ Name of stock exchange: _____ Nature of relation with the Listed Company ☐ Subsidiary ☐ Controlled by the Listed Company
3	Is the Entity an active NFE (Refer 2c of Part C)	☐ YES Nature of Business _____ Please specify the sub-category of Active NFE (Mention code – refer 2c of Part C)
	Is the Entity a passive NFE (Refer 3(ii) of Part C)	☐ YES Nature of Business _____

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which require Indian financial institutions such as the Banks/other financial entities to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Declaration for Ultimate Beneficial Ownership [UBO] / Controlling Persons

Category (Please tick applicable category)

☐ Our company is a Listed Company on a recognized stock exchange in India / Subsidiary of a or Controlled by a Listed Company [If this category is selected, no need to provide UBO details].

Security ISIN _____ Name of the Stock Exchange where it is listed. _____

Name of the Listed Company (applicable if the investor is subsidiary/associate): _____

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

Ultimate Beneficiary Owner (UBO) / Controlling Person(s) / Senior Managing Official details

Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit? ☐ YES ☐ NO

If 'YES' - We hereby declare that the following individual person holds directly / indirectly controlling ownership in our entity a prescribed threshold limit. Details of such individual(s) are given below.

If 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.

	UBO1/ SMO1	UBO2/ SMO2	UBO3/ SMO3
Name of the UBO / SMO#.			
UBO / SMO PAN#. (TIN for Foreign Nationals)			
UBO / SMO KYC Status (If KYC Compliant, provide KYC ID)	☐ YES ☐ NO ID: _____	☐ YES ☐ NO ID: _____	☐ YES ☐ NO ID: _____
% of share holding			

Please attach KYC acknowledgement if KYC status is YES. If NOT, please fill in Related Person/ UBO/ SMO Annexure.
 If more than 3 UBO/ SMO, please provide the above information separately in the same format.

Mandatory column.

** In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country. Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory. Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information.

Declaration

- I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. I am aware that I am liable if any of the above specified information is found to be false or untrue or misleading or misrepresenting
- I hereby authorize **Monarch Network Asset Management Pvt. Ltd.** to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the **SEBI Registered Intermediaries with whom 'I transact / invest / deal with, in accordance with SEBI KRA Regulations, 2011** 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 wherever it is legally required and other investigation agencies without any obligation of advising me of the same.
- Further, I authorize **Monarch Mutual Fund** to share the given information with other SEBI Registered Intermediaries / or any other regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission/ update & for other relevant purposes as specified by the SEBI or the Central Government from time to time.
- I also undertake to keep **Monarch Mutual Fund** informed in writing about any changes / modification to the above information in future within 30 days from such change and also undertake to provide any other additional information as may be required from time to time.
- /We authorize **Monarch Mutual Fund** to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my accounts) without any obligation of advising me of the same.
- I also confirm that I have read and understood the FATCA & CRS Terms and Conditions and hereby accept the same.

NAME &
DESIGNATION

NAME &
DESIGNATION

Signatures

Signatures

Place:

Date:

 - -

Know Your Client (KYC)

Annexure (For Non-Individuals Only) Related Person/ UBO/ SMO Details

Toll free: 1800 203 7186 | Email: customercare@monarchamc.in | Company Website: www.monarchamc.in

Please fill the form in **ENGLISH** and in **CAPITAL LETTERS** only.

Fields marked * are mandatory Fields marked + are pertaining to CKYC and mandatory.

To be submitted for all **Related Person/ UBO/ SMO** separately.

RECENT PASSPORT SIZE

APPLICANT PHOTO

KYC Mode: ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Offline EKYC ☐ Digilocker ☐ Online KYC

Application Type: ☐ New ☐ Modification ☐ **RP Update Type:** ☐ Addition ☐ Deletion ☐ Update

Identity Details (IN CAPITAL LETTERS) - Please refer guidelines overleaf for more information

PAN:

Name*: (same as ID proof)

Maiden Name (if any)

Father's/ Spouse's Name*:

Mother's Name:

Date of Birth*:

 - -

Gender*:

☐ Male

☐ Female

☐ Transgender

Related Person Type*:

☐ Director

☐ Promoter

☐ Karta

☐ Trustee

☐ Partner

☐ Court Appointed Official

☐ Beneficiary

☐ Authorized Signatory

☐ Beneficial Owner

☐ POA Holder

☐ SMO

(Designation)

(Mandatory for SMO)

☐ Others

Nationality*:

☐ Indian

Others

DIN

(Mandatory for Directors):

Proof of Identity (POI) (IN CAPITAL LETTERS) - Please tick as applicable

☐ A — Aadhaar

Please mention the last 4 digits of your Aadhar Card

Expiry Date:

☐ B — Passport

☐ C — Voter ID

Expiry Date:

☐ D — Driving License

☐ E — NREGA Job Card

☐ F — NPR

Address Details* (IN CAPITAL LETTERS) - Please refer guidelines overleaf for more information

A. Address on Officially Valid Document (OVD)*

Address 1*

Address 2

Address 3

City/Town/Village*

District

Pincode*

State*

Country*

Address Type
(For KYC Address)

☐ Residential

☐ Registered Office

☐ Business

B. Current address of applicant, if different from above / Overseas Address (Mandatory for NRI Applicant and Foreign Nationals)

☐ **Same as Correspondence Address** (Please tick if same as above, else provide details below with supporting documents)

Address 1*					
Address 2					
Address 3					
City/Town/Village*		District		Pincode*	
State*		Country*			
Address Type (For KYC Address)	☐ Residential	☐ Registered Office	☐ Business		

Proof of Correspondence/ Overseas Address* (attested copy(ies) of atleast one POA for correspondence and permanent/ overseas address [if applicable] to be submitted)

☐ A — Aadhaar		Please mention the last 4 digits of your Aadhar Card	Expiry Date:	- -
☐ B — Passport				
☐ C — Voter ID			Expiry Date:	- -
☐ D —Driving License				
☐ E —NREGA Job Card				
☐ F — NPR				
☐ Z —Deemed POA				

(Please enter Document code and Document Reference No.)

08- Sale Agreement; 09- Latest Telephone / Postpaid Mobile Bill; 10- Latest Electricity Bill; 11- Latest Gas Connection Bill
Allotment Letter Issued By: 23- Central / State Govt. Depts.; 20- Statutory / Regulatory Body; 25- PSUs; 26- Scheduled Commercial Banks; 27- Public Financial Institutions

Contact Details (IN CAPITAL LETTERS)

Email ID*		
Mobile Number*		
Telephone (Office)		Telephone (Residence)

Applicant Declaration

I hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I under-take 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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/ email address.

i am also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I hereby consent to sharing my masked Aadhaar card with readable QR code or my Aadhaar XML/ Digilocker XML file, along with passcode and as applicable, with Monarch Mutual Fund and Intermediaries with whom I have a business relationship for KYC purposes only.

Place:		
Date:	- -	

Signatures

For Intermediary Use Only (IN CAPITAL LETTERS)

IPV carried out by*		Intermediary Details*	
IPV Date:	- -	☐ Self certified document copies received (Originals Verified)	
Employee Code		☐ True Copies of documents received (Attested)	
Employee Name		Intermediary Name & Code:	
Employee Designation			

FATCA Details for Related Person/ UBO/ SMO (IN CAPITAL LETTERS)

Gross Annual Income (in INR) ☐ Below 1 Lakh ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25Lacs -1 Cr ☐ > 1 Crore

Net Worth (In INR) and Date - -

Occupation Details (Tick any one) ☐ Business ☐ Professional ☐ Public Sector ☐ Private Sector ☐ Government Service ☐ Agriculturist
☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others (Please specify) _____

Politically Exposed Person (PEP) ☐ Yes ☐ Related to PEP ☐ Not Applicable

Place of Birth Country of Birth

Any other Information (If applicable)

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

If "Yes", please fill 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

SL No.	Country of Tax Residency	Tax Identification Number (TIN) 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)
1				Reason ☐ A ☐ B ☐ C
2				Reason ☐ A ☐ B ☐ C
3				Reason ☐ A ☐ B ☐ C

Reason A- The country where the Account Holder is liable to pay tax does not issue TIN to its residents.

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

Reason C- Others- Please specify the reasons _____

Related Person/ UBO/ SMO Applicant Declaration

- I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. I am aware that I am liable if any of the above specified information is found to be false or untrue or misleading or misrepresenting
- I hereby authorize **Monarch Network Asset Management Pvt. Ltd.** to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the **SEBI Registered Intermediaries with whom I transact / invest / deal with, in accordance with SEBI KRA Regulations, 2011** 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 wherever it is legally required and other investigation agencies without any obligation of advising me of the same.
- Further, I authorize **Monarch Mutual Fund** to share the given information with other SEBI Registered Intermediaries / or any other regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission/ update & for other relevant purposes as specified by the SEBI or the Central Government from time to time.
- I also undertake to keep **Monarch Mutual Fund** informed in writing about any changes / modification to the above information in future within 30 days from such change and also undertake to provide any other additional information as may be required from time to time.
- /We authorize **Monarch Mutual Fund** to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my accounts) without any obligation of advising me of the same.
- I also confirm that I have read and understood the FATCA & CRS Terms and Conditions and hereby accept the same.

Place:

Date: - -

Signatures

General Instructions

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list 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 addresses 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/ OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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 a minor, 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., Head of State or of Government, senior politician, senior government/ judiciary/ military officer, senior executive of state owned corporation, important political party official, etc.

Proof of Identity (POI)

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card.
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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.

Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. 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

Instructions for FATCA & CRS Declaration

1. Financial Institution / 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.
2. Direct Reporting NFFE – a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.
3. GFIN not required category:

Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. ONLINE KYC
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be digitally signed using DSC.
 - Intermediary attestation on documents (OSV) is exempted.

Additional Documents Required over and above PAN, POI and POA

1. **Corporate**
 - Copy of Balance Sheet for the last to financial years (to be submitted every year).
 - Copy of latest share-holding pattern including the 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 submitter every year).
 - Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations.
 - Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly.
 - Copy of Memorandum and Articles of Association and Certificate of Incorporation.
 - Copy of Board Resolution for Investment in security markets.
 - Authorized signatories list with specimen signatures.
 - Shareholding pattern.
2. **Partnership Firm**
 - Copy of Balance Sheet for the last to financial years (to be submitted every year).
 - Certificate of Registration (for registered partnership firms only).
 - Copy of Partnership Deed.
 - Authorized signatories list with specimen signatures.
 - Photograph, POI, POA, PAN of Partners.
 - Shareholding pattern.
3. **Trust**
 - Copy of Balance Sheet for the last to financial years (to be submitted every year).
 - Certificate of Registration (for registered Trusts only).
 - Copy of Trust Deed.
 - List of Trustees certified by Managing Trustees/ CA
 - Photograph, POI, POA, PAN of Trustees.
4. **HUF**
 - PAN of HUF.
 - Deed of Declaration of HUF or List of Co-Parceners.
 - Bank Passbook / Bank statement in the name of HUF.
 - Photograph, POI, POA, PAN of KARTA.
5. **Banks/Institutional Investors**
 - Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years
 - Authorized signatories list with specimen signatures.
6. **Unincorporated Association or a Body of Individuals**
 - Proof of existence or Constitution document.
 - Resolution of Managing Body and power of Attorney granted to transact business on its behalf.
7. **Army/Government Bodies**
 - Self certification on letterhead.
 - Authorized signatories list with specimen signatures
8. **Registered Society**
 - Copy of Registration Certificate under Society Registration Act.
 - List of managing committee members.
 - Committee Resolution for persons authorized to act as authorized signatories with specimen signatures.
 - True copy of society rules and by-laws certified by Chairman/Secretary.
9. **FPI Category I**
 - FPI Certificate
 - Constitution Documents
 - Copy of Board Resolution (optional)
 - Shareholding pattern and Ultimate Beneficiary Owners List (UBO)
 - Authorized signatories list with specimen signatures.
10. **FPI Category II**
 - FPI Certificate
 - Constitution Documents
 - Copy of Board Resolution
 - Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity
 - Authorized signatories list with specimen signatures

Instructions for FATCA & CRS Declaration

3. GIIN not required category:

Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

4. Listed Company - A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

5. 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)

6. 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

7. Active NFFE – Any one of the following –

1	Less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and < 50% of the assets held by NFE are assets that produce or are held for the production of passive income
2	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
3	Substantially all of the activities of the NFE 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 NFE 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;
4	The NFE 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 NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
5	The NFE 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;
6	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
7	Any NFE is a 'non for profit' organization which meets all of the following requirements: • 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, labour 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 India; • It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; • The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE 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 NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and • The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE'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 NFE's jurisdiction of residence or any political subdivision thereof.

8. Passive NFE - means any NFE that is not (i) an Active NFFE or listed / publicly traded entity or entity related to the listed / publicly traded entity, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations or (iii) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity - (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

9. Passive Income – portion of gross income that consists of dividends, interest, rents and royalties (other than rents and royalties 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

10. 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.

11. Non-Participating FFIs [NPFFIs] – an FFI other than participating FFI, a deemed-complaint FFI, or an exempt beneficial owner

12. Specified US Persons – Any US Person other than i). A publicly traded corporation; ii). A corporation that is a member of the same expanded affiliate group; iii). A tax exempt organization; iv). an individual retirement plan; v). the United States or an agency or instrumentality of the United States; vi). Any state [including District of Columbia and United States possession] or State Authorities; vii). A bank, viii). A real estate investment trust; ix). A regulated investment company; x). an entity registered with the SEC under the Investment Company Act of 1940; xi). A common trust fund; xii). A tax exempt trust; xiii). A registered dealer; xiv). A registered broker

13. 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

14. Owner documented FFI – AN FFI meeting the following requirements – (a) FFI is an FFI solely because it is an investment entity; (b) FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company; (c) FFI does not maintain a financial account for any non-participating FFI; (d) FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in the circumstances, and (e) The designated withholding agent agrees to report to the IRS (or, in case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any US specified persons and (2) Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a US person, an exempt beneficial owner, or an exempted NFE

15. Exemption Code for US persons

A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan
N	Not Applicable

Instructions on Controlling Persons / Ultimate Beneficial Owner

As per PMLA guidelines and relevant SEBI circulars issued from time to time, 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. 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 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
- more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership or or who exercises control through other means." For the purpose of this clause, "Control" shall include the right to control the management or policy decision.
- 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.

2. For Investors which is a trust

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% 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. Provided that in case of a trust, the reporting entity shall ensure that trustees disclose their status at the time of commencement of an account-based relationship or when carrying out transactions as specified in clause (b) of sub-rule (1) rule 9.

3. 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, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. 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 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

4. KYC requirements

Beneficial Owner(s) / Senior Managing Official (SMO) 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 UBO(s) / SMO(s). In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

DOCUMENT CHECKLIST FOR NON- INDIVIDUAL KYC

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| ☐ 1. Non Individual Applicant KYC Application | ☐ 5. Related Person FATCA Details |
| ☐ 2. Non-Individual Applicant Additional Information | ☐ 6. Non Individual Applicant POI & POA |
| ☐ 3. Non-Individual Applicant FATCA Information | ☐ 7. Related Person POI & POA |
| ☐ 4. Related Person and UBO Details | ☐ 8. Other Documentation (depends on type of non- individual entity)* |

(Please refer to instructions for the list of documents required for each type of entity)