Declaration for Ultimate Beneficial Ownership (UBO) Controlling Persons (Mandatory for Non-Individual Applicant / Investor)



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

I: APPLICANT / INVESTOR DETAILS:

Investor Name		e													
									PAN						
II : APPLICABLE FOR LISTED COMPANY / ITS SUBSIDIARY COMPANY ONLY															
(i)	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														
<i>(</i> ::)	Our Company is controlled by a Listed Company														
		Listed Con						SACI	ırity ISIN						
	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.														
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PART III: APPLICABLE FOR NON-INDIVIDUALS OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY															
(i) Category [Please tick (✓) applicable category]:															
	Unlist	ed Compan	у			Parti	nership Fir	m	(Lim	ited Liabi	lity Partner	Partnership Company		
	Uninco	orporated a	ssociation /	body of indivi	duals	OPubli	ic Charitab	le Trust	(Religious Trust Private Trus				Trust	
	Privat	e Trust crea	ited by a Wil			Othe	e rs (Please	specify)							
	(ii) Details of Ultimate Beneficiary Owner (In case the space provided is insufficient, please provide the information by attaching separate declaration forms)														
				illicient, pieas	se provide	the illion	mation by	attaciiii	; separati	e uecia	ation for	115)			
		ng Person(<u> </u>	_					#					
S. No.	Name of UBO [#]	Country of Tax	Taxpayer Identification	Identification Type [#]	% of ben-	CP / UBO Code [#]	Place & Country of Birth#	Date of Birth	Address	ess\$ sType*8		Father's Name ^{\$}	Nationality\$	[Servic	
		Residency #	Number / PAN /		eficial interest#	Code# (Refer	of Birth#	[dd- mm-		details de City	Female, others]			Busines Others	
			Equivalent ID Number#			Instruction El		''''		e, State					
			15 114111501			LJ			Country	1					
# N	Mandatory	fields		* Addr	acc Tuno c	hould aith	er Resider	ICE Or Ru	siness or	Regict 4	red Office				
IV			BO / Controll				וכו הפאועפו	ice of bu	2111C32 UI	negisti	.i eu Oilill	•			
Mandatory if PAN of UBO / Controlling persons is not provided Note: 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															
* 1	Note that s	some of the	e Mutual Fu	nds may call t	or additi	onal infor	mation/do	cumenta	tion whe						
	clear / inco	omplete / i	ncorrect and	you may to h	ave prov	ide the sai	ne as and	when so	ıcıted						

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 advisors, 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.

Signature with relevant seal:						
Authorized Signatory	Authorized Signatory	Authorized Signatory				
Place	Date D D M M	V				

Instructions on Controlling Persons / Ultimate Beneficial Owner

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.

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

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. Controlling Person Type [CP / UBO] Codes:

CP / UBO Code	Description	CP / UBO Code	Description
CO1	CP of legal person-ownership	C08	CP of legal arrangement-trust-other
C02	CP of legal person-other means	C09	CP of legal arrangement-trust-other-settlor equivalent
C03	CP of legal person-senior managing official	C10	CP of legal arrangement-trust-other-trustee-equivalent
C04	CP of legal arrangement-trust-settlor	C11	CP of legal arrangement-trust-other-protector equivalent
C05	CP of legal arrangement-trust-trustee	C12	CP of legal arrangement-trust-other-beneficiary-equivalent
C06	CP of legal arrangement-trust-protector	C13	CP of legal arrangement-trust-other-other-equivalent
C07	CP of legal arrangement-trust-beneficiary	C14	Unknown

SAMPLE ILLUSTRATIONS FOR ASCERTAINING BENEFICIAL OWNERSHIP

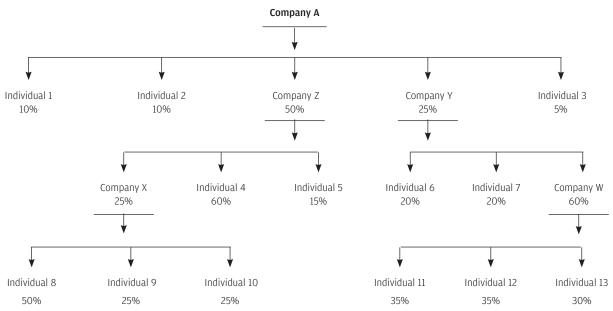
Partner 2

25%

Illustration No. 1 - Company A

Partner1

40%



For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 30% in Company A. Hence details of Individual 4 has to be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and those exercising control.

Partnership Firm ABC Partnership Firm ABC

For Partnership Firm ABC, Partners 1, 2 & 5 are considered as UBO as each of them holds >=15% of capital. KYC proof for these partners needs to be submitted including shareholding

Partner 3

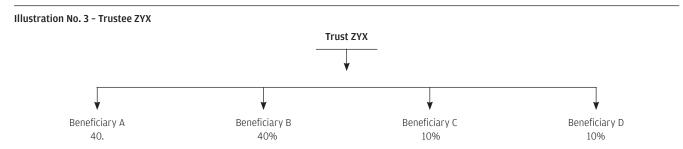
10%

Partner 4

10%

Partner 5

15%



For Trust ZYX, Beneficiaries A & B are considered as UBO as they are entitled to get benefitted for >15% of funds used KYC proof for these beneficiaries needs to be submitted. Additionally, if they have nominated any person or group of persons as Settlor of Trust / Protector of Trust, relevant information to be provided along with the proof indicated.