

Ultimate Beneficial Ownership Declaration ('UBO') / Controlling Persons

1. Investor's Details

Name

PAN

Constitution Company Limited Liability Partnership Partnership Trust
 Unincorporated Association / Body of Individuals Others

2. Company Type (If 'Company' is Selected Under Constitution)

a) Company listed on recognized Stock Exchange b) Subsidiary of Listed Stock Exchange
 c) Company controlled by Listed Company d) Unlisted Company

In case 'Company Type' selected is any one of a, b or c then please provide details of Listed Company.

Name

ISIN No.

Stock Exchange(s) where listed: NSE BSE Other

3. UBO / Controlling Person(s) Details

This section is to be filled in if, Constitution is other than 'Company' and if option 'd' selected under Company type.

a) Company has individual(s) holding or entitled to more than 10% of share capital or profit
 b) Entity (not being a Company) has individual(s) holding or entitled to more than 15% of share capital or profit
 c) If no individual under 'a' and 'b' above then individual(s) holding Senior Managing Official ('SMO')

Particulars	UBO-1 / SMO	UBO-2	UBO-3
First Name			
Middle Name			
Surname			
Father's First Name			
Father's Surname			
UBO/SMO'S PAN			
Place & Country of Birth			
Nationality			
Date of Birth	(DD/MM/YYYY)	(DD/MM/YYYY)	(DD/MM/YYYY)
Permanent Address: Line 1			
Permanent Address: Line 2			
City & State			
Pin-code			
Correspondence Address	<input type="checkbox"/> Same as Permanent	<input type="checkbox"/> Same as Permanent	<input type="checkbox"/> Same as Permanent
If not same: Line 1			
Line 2			
City & State			
Pin-code			
E-mail ID			
Mobile No.			
KYC Complied	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

Declaration

I/We acknowledge and confirm that the information provided above is true and not misleading in my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading or misrepresenting, I/we am/are aware that I/we may be liable for it including any penalty levied by the statutory/legal/ regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/ RTA/other registered intermediaries can make reliance on the same. I/ We hereby authorise you 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 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/ us of the same. Further, I/ We authorise to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA 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 within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/tax authorities.

Name			
Designation			
Signatures	F5	S1	T1

INSTRUCTIONS ON ULTIMATE BENEFICIAL OWNER/CONTROLLING PERSONS

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.

A. For Investors other than individuals or trusts:

- i. (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 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 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.

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, 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.

D. KYC requirements:

Beneficial Owner(s) / Senior Managing Official (SMO) is / are required to comply with the prescribed KYC process as stipulated by the 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).