## FATCA, CRS & UBO DECLARATION (For Non Individual Investors)

Is the Entity a passive<sup>4</sup> NFE

4



Please refer to the Instructions for assistance and complete all sections in English. For legibility, please use BLOCK letters in black or dark ink. Please seek appropriate advice from a tax professional on FATCA related information applicable to you. APPLICANT(S) INFORMATION Folio No./Application No. Name of the entity Type of address given at KRA: Residential or Business Residential Business Registered Office "Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes" City of Incorporation Country of Incorporation Date of Incorporation |D|D|/|M|M|/|Y|Y|Y|PAN Entity Constitution Partnership Firm HUE Private Limited Company Public Limited Company AOP/BOI Society Type Trust H Liquidator Limited Liability Partnership Artificial Juridical Person Others Please (√) Please tick the applicable tax resident declaration -No (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.) Country Tax Identification Number% Identification Type (TIN or Other, please specify) %In case Tax Identification Number is not available, kindly provide its functional equivalent\$. In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc. In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here **FATCA & CRS Declaration** PART A (to be Filled by Financial Institutions or Direct Reporting NFEs) We are a. Financial institution<sup>6</sup> or your sponsor's name below Direct reporting NFE7 Name of sponsoring entity (please tick as appropriate) GIIN not available (please tick as applicable) Applied for If the entity is a Financial institution, 
Not required to apply for - please specify 2 digits sub-category<sup>10</sup> Not obtained – Non-participating FI PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs") Is the Entity a publicly traded company<sup>1</sup> (that is, a Yes (If yes, please specify any one stock exchange on which the stock is regularly traded) company whose shares are regularly traded on an established securities market) Name of stock exchange Is the Entity a related entity<sup>2</sup> of a publicly traded Yes [ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly company (a company whose shares are regularly traded) traded on an established securities market) Name of listed company Subsidiary of the Listed Company or Controlled by a Listed Company Nature of relation: Name of stock exchange Is the Entity an active3 NFE Yes (If yes, please fill UBO declaration in the next section.) Nature of Business Please specify the sub-category of Active NFE (Mention code - Refer 2C of Part D)

Nature of Business

Yes (If yes, please fill UBO declaration in the next section.)

<sup>&</sup>lt;sup>1</sup> Refer 2a of Part D | <sup>2</sup> Refer 2b of Part D | <sup>3</sup> Refer 2c of Part D | <sup>4</sup> Refer 3(ii) of Part D | <sup>6</sup> Refer 1 of Part D | <sup>7</sup> Refer 3(vii) of Part D | <sup>10</sup> Refer 1A of Part D

UBO Declaration									
Category (Please tick applicable category): Unlist Unincorporated association / body of individuals Others (please specify Please list below the details of controlling person(s),			Partnership I	able Trust F	imited Liability P	Pri	vate Trus		
EACH controlling person(s).	-			-			ication in	lumbers for	
Owner-documented FFI's <sup>5</sup> should provide FFI Owner  Name - Beneficial owner / Controlling person  Country - Tax Residency*  Tax ID No Or functional equivalent for each country	Tax ID Type - T Beneficial Intere	IN or Other, est - in perc	Other, please specify in percentage Address - Include State, 4			Country, PIN / ZIP Code & Contact Details			
1. Name	Tax ID Type		, po. co	Address					
Country	Beneficial Interest (%)								
Tax ID No. <sup>%</sup>	Type Code			ZIP					
					State: Country:  Address Type   Residence   Business   Registered office				
					Address Type Residence Business Registered office				
2. Name	Tax ID Type	ant (0/ )		Address					
Country  Tax ID No. <sup>%</sup>	Beneficial Intere	est (%)							
Tax 15 No.	Туро осцо				State: Country:				
					Address Type O Residence O Business O Registered office				
3. Name	Tax ID Type			Address	Address				
Country	Beneficial Intere	est (%)							
Tax ID No. <sup>%</sup>	Type Code	Type Code			ZIP				
					State: Country: Address Type Residence Business Registered office				
# If passive NFE, please provide below additional d	otoilo	(Place)	ottoob odditi	onal sheets if necessa		Tiodo o regio	10100 011		
	etalis.	` .		onai sneets ii necessa		Date of Birth			
PAN / Any other Identification Number (PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Li Card, Others) City of Birth - Country of Birth	cence, NREGA Job	Service, E Nationali Father's	•			er - Male, Fen		ner	
1. PAN		Occupation	n Type						
City of Birth		Nationality			DOB DD / MM / YYYY				
Country of Birth		Father's Name			Gender Male Female Other				
2. PAN		Occupation	n Type			D D / M N			
City of Birth  Country of Birth	Nationality Father's Name			БОВ	Gender Male Female Other				
3. PAN	Occupation Type			- DOD	- DOB DD / MM / YYYY				
City of Birth		Nationality			Gender Male Female				
Country of Birth		Father's N	lame			I Wale	Other		
# Additional details to be filled by controlling persons v * To include US, where controlling person is a US citiz % In case Tax Identification Number is not available, k  4Refe	en or green card he indly provide functi	older ional equiva	alent	zenship / Green Card ii <sup>11</sup> Refer 3(iv) (A) of Part		ner than India:			
FATCA - CRS Terms and Conditions  The Central Board of Direct Taxes has notified Rules to seek additional personal, tax and beneficial owner will have to be reported to tax authorities/ appointed agents for the purpose of ensuring appropriate within Should there be any change in any information provic Please note that you may receive more than one requitat you respond to our request, even if you believe yif you have any questions about your tax residency, please include United States in the foreign country in \$1 is mandatory to supply a TIN or functional equivales sued, please provide an explanation and attach this to	information and c agencies. Towards olding from the acc led by you, please est for information you have already sup- olease contact you formation field alor ent if the country in	ertain certificompliance count or any ensure you fiyou have rupplied any ir tax advisor with the U	ications and do e, we may also proceeds in re advise us pro multiple relation previously req or. If any contro JS Tax Identific	ocumentation from all of the required to provide lation thereto.  In the required to provide lation thereto.  In the required the rest of the rest of the rest of the rest of the entities of the entities of the entities of the entities of the rest of the entities of the rest of the entities of the rest of	ur account holde information to ar vs. ame) or its group by is a US citizer	ers. In relevan ny institutions o entities. Ther n or resident of	t cases, such as refore, it i	information withholding is important card holder,	
Certification  I / We have understood the information requirements us on this Form is true, correct, and complete. I / We the same.	of this Form (read	•		*	•				
Name									
Designation									
∠ Authorized Signatory ∠	<u> </u>	≤ Author		ту	<b>∠</b> Auth				
Place:	Date:								

## **PART D FATCA Instructions & Definitions**

- 1 Financial Institution (FI) The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.
  - Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
  - Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where it's
    income attributale to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the
    shorter of-
    - (i) The three financial years preceding the year in which determination is made; or
    - (ii) The period during which the entity has been in existence, whichever is less.
      - Investment entity is any entity:
      - That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
    - (ii) Individual and collective portfolio management; or
    - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or

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 described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- (ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated
to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

• Fl not	FI not required to apply for GIIN:				
A. Reasons why FI not required to apply for GIIN:					
Code	Sub-category 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, Investment Managers & Executing Brokers				
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				