



APPLICANT(S) NAME AND INFORMATION (If the applicant is minor, then please provide details of natural / legal guardian) Name of the entity Mr. / Ms. / M/s.							
	f 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				
PAN De	stails		Cust ID / Folio No.				
Date of	incorporation D D M M Y Y Y Y (City of incorporation:	Country of incorporation:				
	Constitution Type ○ Partnership Firm ○ HUF tick (✓)] ○ Trust H Liquidator ○ Limited Liability F		Public Limited Company AOP/BOI Society Others Please Specify				
le "Ent	tity" a tax resident of any country other than India	Yes No	Others				
	please indicate all countries in which you are resident		x ID Numbers below				
, , ,	Country [#]	Tax Identification Number [%]	Identification Type (TIN or Other, please specify)				
			(Till of Other, please speedify)				
% In case	e Tax Identification Number is not available, kindly provide its functio	nal equivalent\$					
In case	TIN or its functional equivalent is not available, please provide Comp	pany Identification number or Global Entity Identific					
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 nere				
	ATCA & CRS DECLARATION (Please consult your pro		e on FATCA & CRS classification)				
PART		rting NFES)					
	eial institution ⁶	ponsored by another entity, please provide your sponsor's GIIN abo	ove and indicate your sponsor's name below				
	reporting NFE ⁷ ○ Name of sponsoring entity:	, , , , , , , , , , , , , , , , , , , ,					
GIIN n	ot available [Please tick (✓)]	O Not required to apply for - please specify 2 d	igits sub-category ¹⁰ Not obtained – Non-participating F				
PART	B (please fill any one as appropriate "to be filled by N	IFEs other than Direct Reporting NFEs")					
1	Is the Entity a publicly traded company¹ (that is, a company whose shares are regularly	Yes (If yes, please specify any one stock e	exchange on which the stock is regularly traded)				
	traded on an established securities market)	Name of stock exchange:					
2	Is the Entity a related entity ² of a publicly	Yes (If yes, please specify name of the list	ed company and one stock exchange on which the stock is regularly traded)				
	traded company (a company whose shares are regularly traded on an established securities market)	Name of listed company:					
		Name of listed company.					
		Nature of relation O Subsidiary of the Listed	Company or Ocontrolled by a Listed Company				
		Name of stock exchange:					
		3,					
		_					
3	Is the Entity an active³ NFE	Yes (If yes, please fill UBO declaration in t	he next section.)				
		Nature of Business:					
		Please specify the sub-category of Active NFE	(Mention code - refer 2c of Part D)				
4	ls the Entity a passive⁴ NFE	Yes (If yes, please fill UBO declaration in t	he payt section)				
-	13 the chitty a passive INI E		THE FIGAL SOCIEDIT.				
		Nature of Business:					

1. Refer 2a of Part D | 2. Refer 2b of Part D | 3. Refer 2c of Part D | 4. Refer 3(ii) of Part D | 6. Refer 1 of Part D | 7. Refer 3(vii) of Part D | 10. Refer1A of Part D

3. UBO DECLAR	_	0.5.4.4.5		
Category [Please tick (✓)]		Partnership Firm	Limited Liability Partnership Comp	
		Religious Trust	Private Trust	Others Please Specify L Tax Identification Numbers for EACH controlling person(s).
	's5 should provide FFI Owner Reporting St			
Name: Beneficial owr	ner / Controlling person	Tax ID Type: TIN or Ot	ther, please specify	Address: Include State, Country, PIN / ZIP Code
Country: Tax Resider	•	Beneficial Interest: In		& Contact Details
Tax ID No.: Or function	onal equivalent for each country%	Type Code11: Of Controlling person		Address Type:
1. Name:		Tax ID Type:		Address:
Country:		Type Code:		
				ZIP:
Tax ID No.%:		Address Type Residence Business Registered office		State: Country:
2. Name:		Tax ID Type:		Address:
Z. Hullo.		Tax IS Type.		
Country:		Type Code:		
Country.		Type Code.		ZIP:
T ID N - 0/ -		Address Torre O Dee	idence O Business O Registered office	
1ax ID No.%:		Address Type O Nes	defice Dusifiess O Registered office	State: Country:
3. Name:		Tax ID Type:		Address:
Country:		Type Code:		
				ZIP:
Tax ID No.%:		Address Type O Res	idence O Business O Registered office	State: Country:
# If passive NFE, pleas	se provide below additional details.(Please	attach additional sheets if	necessary)	
PAN / Any other Ider	ntification Number (PAN, Aadhar, Passport,	Occupation Type: Ser	vice Business Others	
	Licence NREGA Job Card, Others)	Nationality:	vice, Business, Guisio	DOB: Date of Birth
City of Birth - Count	try of Birth	Father's Name: Manda	atory if PAN is not available	Gender: Male, Female, Other
1. PAN:		Occupation Type:		Date Of Birth:
City of Birth:				Gender O Male O Female O Other
		Father's Name:		
2. PAN:		Occupation Type:		Date Of Birth:
City of Birth:		Nationality:		Gender O Male O Female O Other
Country of Birth:_		Father's Name:		
3. PAN:		Occupation Type:		Date Of Birth:
City of Birth:		Nationality:		Gender OMale Female Other
Country of Birth:_		Father's Name:		
	pe filled by controlling persons with tax reside controlling person is a US citizen or green	* 1	cy / citizenship / Green Card in any country	other than India:
%In case Tax Identifica	ation Number is not available, kindly provide	functional equivalent		
	4. Refer 3(iii) of Part D 5. Refe	er 3(vi) of Part D 11. Refer 3(iv)	(A) of Part D
4. FATCA - CRS	TERMS AND CONDITIONS			
The Central Board of Dire	ect Taxes has notified Rules 114F to 114H, as I	part of the Income-tax Rules,	, 1962, which Rules require Indian financial in	stitutions such as the Bank to seek additional personal, tax and benefic
be required to provide info	rtain certifications and documentation from all or primation to any institutions such as withholding	our account holders. In releva agents for the purpose of en	ant cases, information will have to be reported suring appropriate withholding from the accour	stitutions such as the Bank to seek additional personal, tax and benefic to tax authorities/ appointed agencies. Towards compliance, we may als nt or any proceeds in relation thereto.
	ge in any information provided by you, please or			ies. Therefore, it is important that you respond to our request, even if yo
believe you have already's	supplied any previously requested information.		, , , , , , , , , , , , , , , , , , , ,	
If you have any questions information field along with	s about your tax residency, please contact your h the US Tax Identification Number.	tax advisor. If any controlling	person of the entity is a US citizen or residen	t or green card holder, please include United States in the foreign count
\$It is mandatory to supply to the form.	a TIN or functional equivalent if the country in	which you are tax resident is	sues such identifiers. If no TIN is yet available	or has not yet been issued, please provide an explanation and attach the
CERTIFICATION				
	ne information requirements of this Form (read	along with the FATCA & CRS	Instructions) and hereby confirm that the infor	mation provided by me / us on this Form is true, correct, and complete.
	e nave read and understood the FATCA& CRS	remis and conditions below	лани негеру ассері іне Same.	
Name:				Designation:
Signature	e of 1st Applicant / Guardian /	01	of 2 nd Applicant / Cuer-V/	Circohus of 2 rd A - U 1 / Co
Authori	ised Signatory /PoA/Karta	Signature	of 2 nd Applicant / Guardian /	Signature of 3rd Applicant / Guardian /

PART D

- 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
- Prinancial institution (PI): The term PI means any linancial 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:
- 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
- (iii) Individual and collective portfolio management; or (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

• 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, 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.

FI not r	equired to apply for GIIN			
A. Reasons why FI not required to apply for GIIN:				
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, 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			

2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a.Publicly traded company (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)
b.Related entity of a publicly traded company. The NFE is a related entity of an entity of which is regularly traded on an established securities market;

Code	Sub-category			
01	Less than 50 percent of the NFE's gross income for the preceding financial yearis passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;			
02	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;			
03	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 this status if the entity functions 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;			
04	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;			
05	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;			
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;			
07	 Any NFE that fulfills all of the following requirements: It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor 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 country or territory 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 country or territory or fresidence 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 country or territory of residence or any political subdivision thereof. Explanation: For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:- (i) an Investor Protection Fund referred to in clause (23EA); (ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act; 			

3. Other definitions

- Related entity: An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.
- (ii) Passive NFE: The term passive NFE means
 - any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or

 - (b) an investment entity defined in clause (b) of these instructions
 (c) a withholding foreign partnership or withholding foreign trust;
 (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)
- (iii) Passive income
 - The term passive income includes income by way of:

 - (1) Dividends,
 (2) Interest
 (3) Income equivalent to interest,

- Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE
- The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets, The excess of foreign currency gains over foreign currency losses
- Net income from swaps
- (10) Amounts received under cash value insurance contracts

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

(iv) Controlling persons: Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person 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. In the case of alegalar rangement other thana trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means '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 of / entitlements to:

(a) More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
(b) More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
(c) 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.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through 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.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type Code: 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. LBO-2: Controlling ownership interest of more than 15% of the capital or profits of the juridical person in plantical person in a partnership. UBO-3: 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 UBO-1 to UBO-3 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.

- (v) Specified U.S. person-AU.S person other than the following:
 (a) a corporation the stock of which is regularly traded on one or more established securities markets;
 (b) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
 (c) the United States or any wholly owned agency or instrumentality thereof;
 (d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
 (e) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue
 - any bank as defined in section 581 of the U.S. Internal Revenue Code:

 - any seal estate investment trust as defined in section 856 of the U.S. Internal Revenue Code; any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64); any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;

 - any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code; 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:

 - a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.
- (vi) Owner documented FFI

An FFI meets the following requirements

- The FFI is an FFI solely because it is an investment entity;
- The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company; The FFI does not maintain a financial account for any non participating FFI;

- Ine FFI does not maintain a financial account for any non participating FFI; The FIT provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and The designated withholding agent agrees to report to the IRS (or, in the 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 specified U.S. 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 U.S. person, an exempt beneficial owner, or an excepted NFE.

(vii) Direct reporting NFE: A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

(viii) Exemption code for U.S. persons

Code	Sub-category Sub-category		
а	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		
С	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)		
е	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		
- 1	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		





