

## DECLARATION FOR ULTIMATE BENEFICIAL OWNERSHIP (UBO)

(Mandatory for Non-Individual Applicant / Investor)

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

### PART I : APPLICANT / INVESTOR DETAILS :

Investor Name	
	PAN

### PART II : APPLICABLE FOR LISTED COMPANY / ITS SUBSIDIARY COMPANY ONLY

(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

(ii) Details of Listed Company<sup>^</sup>

Stock Exchange on which listed \_\_\_\_\_ security ISIN \_\_\_\_\_

<sup>^</sup> The details of holding / parent Company to be provided in case the applicant / investor is a Subsidiary Company.

### PART III : APPLICABLE FOR NON-INDIVIDUALS OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY

(i) Category [Please tick (✓) applicable category]:

Unlisted Company     Partnership Firm     Limited Liability Partnership Company     Unincorporated association / body of individuals     Public Charitable Trust

Religious Trust     Private Trust     Private Trust created by a Will     Others (Please specify) \_\_\_\_\_

(ii) Details of Ultimate Beneficiary Owner

(In case the space provided is insufficient, please provide the information by attaching separate declaration forms)

	1	2	3	4
Name of UBO [Mandatory] Along with Designation / Position wherever applicable				
UBO Code [Refer instruction 3]				
PAN or any other valid ID proof for those where PAN is not applicable <sup>1</sup>				
KYC (Yes/No) <sup>2</sup>				
Taxpayer Identification Number <sup>3</sup>				
Country of Tax Residency [CTR]				
CP / UBO Code [Refer Instruction E]				
Country of Birth [COB]				
Date of Birth [dd- mm-yyyy]				
Country of Permanent Address [CPA]				
Gender [Male, Female, others]				
Father's Name				
Occupation [Service, Business, Others]				
Percentage of Holding (%) <sup>4</sup>				

<sup>1</sup> If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

<sup>2</sup> If UBO is not KYC compliant, request to complete KYC formalities and send the intimation to SBFS / Fund. Attach valid address proof

<sup>3</sup> If UBO is resident / citizen of 'other than India' or citizen/tax resident/green card holder of USA, please provide Taxpayer ID Number / US Social Security Number [SSN]

<sup>4</sup> Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

**Note: Attached documents should be self-certified by the UBO and certified by the Applicant/Investor Authorized Signatory/ies.**

### PART IV: 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 professionals, 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.

**Authorized Signatories [with Company/Trust/Firm/Body Corporate seal]**

Authorized Signatory	Authorized Signatory	Authorized Signatory

Place \_\_\_\_\_ Date 

D	D	M	M	Y	Y	Y	Y
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## GENERAL INFORMATION & INSTRUCTIONS

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.

### 1. Ultimate Beneficiary Owner [UBO]:

#### 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 settlor 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

### 2. 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).

### 3. Controlling Person Type [CP / UBO] Codes:

UBO Code	Description
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-other-settlor equivalent
10	CP of legal arrangement-other-trustee equivalent
11	CP of legal arrangement-other-protector equivalent
12	CP of legal arrangement-other-beneficiary equivalent
13	CP of legal arrangement-other-other equivalent
14	Unknown



BNP Paribas Asset Management India Private Limited  
 BNP Paribas House, 1 North Avenue, Maker Maxity, Bandra Kurla Complex,  
 Bandra (East), Mumbai - 400 051, Maharashtra, India.  
 Toll Free: 1800 102 2595 • Web : [www.bnpparibasmf.in](http://www.bnpparibasmf.in)  
 E-mail: [customer.care@bnpparibasmf.in](mailto:customer.care@bnpparibasmf.in)

