

**Key Information Memorandum cum Application Form**

# Reliance Capital Builder Fund IV - Series E

(A Close Ended Equity Oriented Scheme)

Product label	
<p><b>This product is suitable for investors who are seeking*:</b></p> <ul style="list-style-type: none"> <li>• long term capital growth</li> <li>• investment in diversified portfolio of equity &amp; equity-related instruments with small exposure to fixed income securities</li> </ul> <p>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</p>	<p>Investors understand that their principal will be at Moderately High risk</p>

**Offer for Sale of Units at Rs.10/- per unit during the new fund offer period**

<p><b>TRUSTEE</b>  <b>REGISTERED OFFICE</b>  <b>Reliance Capital Trustee Co. Limited,</b>                      CIN : U65910MH1995PLC220528                      Reliance Centre, 7th Floor, South Wing, Off Western Express Highway,                      Santacruz (East), Mumbai - 400 055.                      Tel No. - 022- 33031000, Fax No. - 022- 33037662</p> <p>E-mail : customer_care@reliancecapital.com                      'Touchbase' [Customer Helpline] 3030 1111                      Investors using mobile phones need to prefix STD Code of their respective city before 3030 1111.</p> <p>MTNL/BSNL subscribers need to dial 022 - 3030 1111.                      Overseas callers need to dial 91 - 22 - 3030 1111.                      Website: www.reliancecapital.com</p> <p><b>INVESTMENT MANAGER</b>  <b>REGISTERED OFFICE</b>  <b>Reliance Nippon Life Asset Management Limited,</b>                      (formerly Reliance Capital Asset Management Limited)                      CIN : L65910MH1995PLC220793                      Reliance Centre, 7th Floor, South Wing, Off Western Express Highway,                      Santacruz (East), Mumbai - 400 055.                      Tel No. - 022- 33031000, Fax No. - 022- 33037662</p>	<p><b>REGISTRAR</b>  <b>Karvy Computershare Pvt. Ltd.</b>                      Karvy Selenium Tower B, Plot number 31 &amp; 32, Financial District,                      Nanakramguda, Serilingampally Mandal,                      Hyderabad - 500032, India</p> <p><b>CUSTODIAN</b>  <b>Deutsche Bank A.G.</b>                      Deutsche Bank House, Hazarimal Somani Marg Fort,                      Mumbai 400 001, INDIA</p> <p><b>AUDITORS TO THE SCHEMES</b>  <b>Haribhakti &amp; Co. LLP</b>  <b>Chartered Accountants</b>                      705, Leela Business Park, Andheri Kurla Road, Andheri (E),                      Mumbai - 400 059, INDIA.</p>
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This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the Scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations, etc., investors should, before investment, refer to the respective Scheme Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website www.reliancecapital.com. The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM. This KIM is dated February 27, 2018.

**Disclaimer:**

"BSE Ltd. ("the Exchange") has given vide its letter DCS/IPO/LK/MF/IP/286/2017-18 dated July 07, 2017 permission to Reliance Mutual Fund to use the Exchange's name in this SID as one of the Stock Exchanges on which this Mutual Fund's Unit are proposed to be listed. The Exchange has scrutinized this SID for its limited internal purpose of deciding on the matter of granting the aforesaid permission to Reliance Mutual Fund. The Exchange does not in any manner: - i) warrant, certify or endorse the correctness or completeness of any of the contents of this SID; or ii) warrant that this scheme's unit will be listed or will continue to be listed on the Exchange; or iii) take any responsibility for the financial or other soundness of this Mutual Fund, its promoters, its management or any scheme or project of this Mutual Fund; and it should not for any reason be deemed or construed that this SID has been cleared or approved by the Exchange. Every person who desires to apply for or otherwise acquires any unit of Reliance Capital Builder Fund IV - Series E of this Mutual Fund may do so pursuant to independent inquiry, investigation and analysis and shall not have any claim against the Exchange whatsoever by reason of any loss which may be suffered by such person consequent to or in connection with such subscription/acquisition whether by reason of anything stated or omitted to be stated herein or for any other reason whatsoever"

Reliance Mutual Fund/Reliance Nippon Life Asset Management Limited (formerly Reliance Capital Asset Management Limited) and its empanelled brokers has not given and shall not give any indicative portfolio and indicative yield in any communication, in any manner whatsoever. Investors are advised not to rely on any communication regarding indicative yield/portfolio with regard to the scheme.

Scheme	Tenure*	New Fund Offer Opens	New Fund Offer Closes
Reliance Capital Builder Fund IV - Series E	1188 days	March 13, 2018	March 27, 2018

\*The maturity period will be calculated from the date of allotment of units. However, if the maturity date falls on a non working day, the succeeding working day shall be considered for the purpose of maturity date in the scheme.

Corporate Office Address: Reliance Centre, 7th Floor, South Wing & 5th Floor, North Wing, Near Prabhat Colony, Santacruz (East), Mumbai - 400 055.

**1. DISTRIBUTOR / BROKER INFORMATION** (Refer Instruction No. 34)

Name & Broker Code / ARN	Sub Agent ARN Code	Sub Agent Code	*Employee Unique Identification Number	RIA Code**
ARN- <b>48012</b> (p here)	ARN-		<b>E053085</b>	

\*Please sign alongside in case the EUIIN is left blank/not provided. I/We hereby confirm that the EUIIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. ++ I/We, have invested in the Scheme(s) of your Mutual Fund under Direct Plan. I/We hereby give you my/our consent to share/provide the transactions data feed/ portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all Schemes Managed by you, to the above mentioned Mutual Fund Distributor / SEBI-Registered Investment Adviser.

<b>SIGN HERE</b>	First / Sole Applicant / Guardian / Authorised Signatory	Second Applicant / Authorised Signatory	Third Applicant / Authorised Signatory

**2. INVESTOR'S FOLIO NUMBER**

(If you have an existing folio number with KYC validated, please mention the number here, enter your name in section 5 & proceed to section 9 to provide FATCA / Additional KYC details. If these details are already provided please proceed to Section 12. Mode of holding will be as per existing folio number.)

[Please tick (✓) any one]

- I am a First time investor across Mutual Funds OR  
 I am an existing investor in Mutual Funds

**3. UNITHOLDING OPTION -  DEMAT MODE  PHYSICAL MODE**

**DEMAT ACCOUNT DETAILS - These details are compulsory if the investor wishes to hold the units in DEMAT mode.** Ref. Instruction No. 30.

Please ensure that the sequence of names as mentioned in the application form matches with that of the account held with any one of the Depository Participant.

<b>NSDL</b> DP Name	DP ID	Beneficiary Account No.
<b>CDSL</b> DP Name	Beneficiary Account No.	
Enclosures [Please tick (✓) any one box]: <input type="checkbox"/> Client Master List (CML) <input type="checkbox"/> Transaction cum Holding Statement <input type="checkbox"/> Cancelled Delivery Instruction Slip (DIS)		

**4. GENERAL INFORMATION**

^MODE OF HOLDING : [Please tick(✓)]  Single  Joint (Default)  Any one or Survivor

**5. FIRST APPLICANT DETAILS**

**NAME** Mr. Ms. M/s. \_\_\_\_\_  
 (Please mention Name as per Aadhaar card. Refer instruction no.3.i)

**PAN / PEKRN** \_\_\_\_\_ **CKYC Id** \_\_\_\_\_

**Aadhaar No** \_\_\_\_\_  
 By sharing the Aadhaar number I provide my consent for sharing/disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios.

**Name of Guardian** if first applicant is minor / **Contact Person** for non individuals Mr. Ms. \_\_\_\_\_

<b>Guardian's Relationship With Minor</b> <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Court Appointed Guardian	<b>Date of Birth of 1st Applicant</b> DDMMYY (Mandatory in case of Minor)	<b>Proof of Date of Birth and Guardian's Relationship with Minor</b> <input type="checkbox"/> Birth Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others _____
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**STATUS** ^ :  Resident Individual  PSU  AOP/BOI  Minor through Guardian  HUF  Trust /Charities / NGOs  
 Society  FI/FII  NRI  Company/Body Corporate  Sole Proprietor  Defence Establishment  
 PIO  Bank  FPI\*\*\* (\*\*\*as and when applicable)  Government Body  Partnership Firm  Others \_\_\_\_\_

**Are you involved / providing any of the mentioned services :** (Applicable only for Non Individuals)  
 Foreign Exchange / Money Changer Services  Gaming / Gambling / Lottery / Casino Services  
 Money Lending / Pawning  None of the above

**Note:** In case First Applicant is Non Individual please attach FATCA, CRS & UBO Self Certification Form (Ref Ins No. XIV) \*\*In case First Applicant is Minor then details of Guardian will be required.  
 ^Mandatory for all type of Investors. It is mandatory for investors to be KYC compliant prior to investing in Reliance Mutual Fund. Refer instruction no.II. 17, 18 & 38

**6. SECOND APPLICANT DETAILS**

**NAME** Mr. Ms. \_\_\_\_\_  
 (Please mention Name as per Aadhaar card. Refer instruction no.3.i)

**PAN / PEKRN** \_\_\_\_\_ **CKYC Id** \_\_\_\_\_ **STATUS** ^ :  Resident Individual  NRI

**Aadhaar No** \_\_\_\_\_  
 By sharing the Aadhaar number I provide my consent for sharing/disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios.

<p><b>RELIANCE MUTUAL FUND</b>                  Wealth Sets You Free</p> <p><b>ACKNOWLEDGMENT SLIP</b></p> <p>Received Purchase Application from Mr/Ms/M/s : _____</p> <p>For allotment of Units under <input type="checkbox"/> Reliance Capital Builder Fund IV- Series E - Regular Plan <input type="checkbox"/> Growth Option <input type="checkbox"/> Dividend Payout Option</p> <p>Cheque / DD No. _____ date ____ / ____ / ____ ₹ _____                  Drawn on Bank _____</p>	<p><b>App No.:</b> _____</p> <p>Signature, Date &amp; Stamp</p>
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### 7. THIRD APPLICANT DETAILS

NAME*	Mr. Ms.		
<small>(Please mention Name as per Aadhaar card. Refer instruction no.3.i)</small>			
PAN / PEKRN*	CKYC Id*	STATUS: <input type="radio"/> Resident Individual <input type="radio"/> NRI	
Aadhaar No**	By sharing the Aadhaar number I provide my consent for sharing/disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios.		

### 8. ADDITIONAL KYC DETAILS

OCCUPATION***	Professional	Agriculturist	Housewife	Retired	Government Service/PublicSector	Business	Forex Dealer	Student	Private Sector Service	Others
1 <sup>st</sup> Applicant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2 <sup>nd</sup> Applicant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3 <sup>rd</sup> Applicant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Guardian	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

GROSS ANNUAL INCOME DETAILS***	Below 1 Lac	1-5 Lacs	5-10 Lacs	10-25 Lacs	25 Lacs-1 Crore	>1 Crore	NET-WORTH*** in ₹	Date
1 <sup>st</sup> Applicant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	(Net worth should	D D M M Y Y Y Y
2 <sup>nd</sup> Applicant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	not be older	D D M M Y Y Y Y
3 <sup>rd</sup> Applicant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	than 1 year)	D D M M Y Y Y Y
Guardian	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		D D M M Y Y Y Y

PEP DETAILS***	1 <sup>st</sup> Applicant	2 <sup>nd</sup> Applicant	3 <sup>rd</sup> Applicant	Guardian
Are you a Politically Exposed Person (PEP)***	Yes <input type="radio"/> No <input type="radio"/>	Yes <input type="radio"/> No <input type="radio"/>	Yes <input type="radio"/> No <input type="radio"/>	Yes <input type="radio"/> No <input type="radio"/>
Are you related to a Politically Exposed Person (PEP)***	Yes <input type="radio"/> No <input type="radio"/>	Yes <input type="radio"/> No <input type="radio"/>	Yes <input type="radio"/> No <input type="radio"/>	Yes <input type="radio"/> No <input type="radio"/>

### 9. FATCA and CRS DETAILS For Individuals (Mandatory) Non Individual Investors should mandatory fill separate FATCA/CRS details form

# Please indicate all Countries in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN etc.

Sole/First Applicant/Guardian			Second Applicant			Third Applicant		
Country #**	Tax Payer Ref. ID No%	Identification Type	Country #	Tax Payer Ref. ID No%	Identification Type	Country #	Tax Payer Ref. ID No%	Identification Type
1			1			1		
2			2			2		
3			3			3		

In case Country of Tax Residence is only India then details of Country of Birth & Nationality need not be provided. % In case Tax Identification Number is not available, kindly provide its functional equivalent

Sole/First Applicant/Guardian			Second Applicant			Third Applicant		
Country of Birth^**			Country of Birth			Country of Birth		
Country of Nationality^**			Country of Nationality			Country of Nationality		

### 10. CONTACT DETAILS OF SOLE / FIRST APPLICANT (Refer Instruction No. 7 & 27)

<b>Correspondence Address**</b> (P.O. Box is not sufficient) <small>**Please note that your address details will be updated as per your KYC records with CKYC / KRA</small>						<b>Overseas Address</b> (Mandatory for NRI / FI Applicants)								
House /Flat No.						House /Flat No.								
Street Address						Street Address								
City/ Town					State					City/ Town				
Country					Pin Code					Country				
Tel. (Res.)	STD Code								Tel. (Off.)					
						Mobile No.	Country Code							
Email ID														

Please register your Mobile No & Email Id with us to get instant transaction alerts via SMS & Email. Investors providing Email Id would mandatorily receive only E - Statement of Accounts in lieu of physical Statement of Accounts.

#### Add convenience to your life with our value added service



Simply send **SMS to 966 400 1111 to avail below facilities		
Types of Facilities	Single Folio	Multiple Folio
NAV	SMS mynav	SMS mynav <space> last 6 digits of folio
Balance	SMS Balance	SMS balance <space> last 6 digits of folio
Last 3 Transaction	SMS Transaction	SMS txn <space> last 6 digits of folio
Statement thru mail	SMS ESOA	SMS ESOA <space> last 6 digits of folio

\*\*SMS charges apply



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**11. BANK ACCOUNT DETAILS MANDATORY for Redemption/Dividend/Refunds, if any (Refer Instruction No. 23-25)**

Bank Name

Account No.  M a n d a t o r y A/c. Type (✓)  SB  Current  NRO  NRE  FCNR

BranchAddress  Branch City  For Credit to NEFT

PIN  IFSC Code  MICR Code  9 Digit

Please ensure the name in this application form and in your bank account are the same. Please update your IFSC and MICR Code in order to get payouts via electronic mode in to your bank account.

**12. INVESTMENT & PAYMENT DETAILS**

(Separate Application Form is required for investment in each Plan/Option. Multiple cheques not permitted with single application form (Refer instruction no. 19-22))

Scheme  Reliance Capital Builder Fund IV- Series E - Regular Plan

(Please tick (✓) the appropriate boxes only if applicable to the scheme in which you plan to invest) Option  Growth^^  Dividend Payout

Mode of Payment  Cheque  DD  Funds Transfer  RTGS / NEFT

Investment Amount (₹)	DD Charges (if applicable) (₹)	Net Amount~ (₹)	Instrument No/UTR No.	Date	Drawn on Bank	Bank Branch	City
I	II	I minus II		D D M M Y Y Y Y			

(^^ Default option if not selected) ~Units will be allotted for the net amount minus the transaction charges if applicable.

Reason for Investment:  House  Children's education  Children's Marriage  Car  Retirement  Others \_\_\_\_\_

**13. NOMINATION - I wish to Nominate  Yes  No (Mandatory if mode of holding is single) (Refer Instruction No. 26) In case of existing investor, nomination details mentioned in the below table will replace the existing details registered in the folio. Signature is mandatory if you do not wish to nominate**

Nominee Name	Guardian Name (in case Nominee is Minor)	Date of Birth of Minor	Allocation (%)	Sign of Nominee	Sign of Guardian	Signature of Applicants
						1st App.
						2nd App.
						3rd App.

**14. FOR SWITCH  Partial Switch OR  Full Switch**

Amount: ₹ \_\_\_\_\_ or Units: \_\_\_\_\_

From Scheme \_\_\_\_\_ Plan \_\_\_\_\_ Option \_\_\_\_\_

To Scheme :  Reliance Capital Builder Fund IV- Series E - Regular Plan  Growth Option  Dividend Payout Option

Switch over application needs to be submitted only at Designated Investor Service Centre (DISC) of RMF

**15. MATURITY INSTRUCTION**

Switch to Scheme/Plan : \_\_\_\_\_  Proceeds to be dispatched / Credit to Bank A/c (as may be applicable.) (Default)

As a default mechanism, the Scheme shall be fully redeemed on the date of maturity and redemption proceeds shall be dispatched to / credited in the bank account of the unitholders within 10 Business Days from the date of redemption or repurchase.

**16. DIVIDEND TRANSFER PLAN (DTP) (Please Refer Instruction No. 41)**

I/We would like to transfer the Dividend declared in Reliance Capital Builder Fund IV - Series E to:

Scheme \_\_\_\_\_ Plan \_\_\_\_\_ Option \_\_\_\_\_

**17. DECLARATION AND SIGNATURE**

I/We would like to invest in Reliance Capital Builder Fund IV- Series E subject to terms of the Statement of Additional Information (SAI), Scheme Information Document (SID), Key Information Memorandum (KIM) and subsequent amendments thereto. I/We have read, understood (before filling application form) and is/are bound by the details of the SAI, SID & KIM including details relating to various services including but not limited to Reliance Any Time Money Card. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I / We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act / Regulations / Rules / Notifications / Directions or any other Applicable Laws enacted by the Government of India or any Statutory Authority. I accept and agree to be bound by the said Terms and Conditions including those excluding/ limiting the Reliance Nippon Life Asset Management Limited (formerly Reliance Capital Asset Management Limited)(RNAM) liability. I understand that the RNAM may, at its absolute discretion, discontinue any of the services completely or partially without any prior notice to me. I agree RNAM can debit from my folio for the service charges as applicable from time to time. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I hereby declare that the above information is given by the undersigned and particulars given by me/us are correct and complete. Further, I agree that the transaction charge (if applicable) shall be deducted from the subscription amount and the said charges shall be paid to the distributors. I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/We hereby provide my/our consent for sharing/disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios. I/We hereby confirm that I/We are not United States persons within the meaning of Regulation (S) under the United States Securities Act of 1933, or as defined by the U.S. Commodity Futures Trading Commission, as amended from time to time or residents of Canada.

I confirm that I am resident of India.  I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External / Ordinary Account/FCNR Account. I/We undertake that all additional purchases made under this folio will also be from funds received from abroad through approved banking channels or from funds in my/ our NRE/FCNR Account.

**SIGN HERE**

First / Sole Applicant / Guardian / Authorised Signatory

Second Applicant / Authorised Signatory

Third Applicant / Authorised Signatory

- CHECK LIST**
- Please ensure that:
- Your Application Form is complete in all respect, Name, Address & contact details are mentioned in full, signed by all applications.
  - Bank Account Details are entered completely and correctly.
  - Permanent Account Number (PAN) of all the applicants are mandatory. Please refer to instruction no. 17 for details.
  - For KYC, please refer to instruction no. 18 & for PAN Exempt KYC Refer instruction no. 38
  - Appropriate Option is ticked.
  - The Cheque / DD is drawn in favour of " **Reliance Capital Builder Fund IV Series E**", dated and duly signed.
  - Application Number is mentioned on the reverse of the Cheque / DD.
  - Document as listed alongside are submitted along with the Application (as applicable to your specific case.)

Documents	Companies	Trusts	Societies	Partnership Firm	Fils	Investments through Constituted Attorney
1. Resolution/Autorisation to invest		✓	✓	✓	✓	
2. List of Authorised Signatories with Specimen Signature(s)	✓	✓	✓	✓	✓	✓
3. Memorandum & Articles of Association	✓					
4. Trust Deed		✓				
5. Bye-Laws			✓			
6. Partnership Deed				✓		
7. Overseas Auditor's Certificate					✓	
8. Notarised Power of Attorney						✓
9. Proof of PAN	✓	✓	✓	✓	✓	✓
10. KYC Complaint	✓	✓	✓	✓	✓	✓

Wealth Sets You Free

APP No.:

**Details of FATCA & CRS information  
For Non-Individuals / Legal Entity**

Name of the entity

Type of address given at KRA  Residential or Business  Residential  Business  Registered Office

PAN  Date of incorporation  DD / MM / YYYY

City of incorporation

Country of incorporation

Please tick the applicable tax resident declaration-

1. Is "Entity" a tax resident of any country other than India  Yes  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)

\*Incase 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 GIN, etc.

Incase 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 \_\_\_\_\_

Please refer to para 3(vii) Exemption code for U. S. persons under Part D of FATCA instructions & Definitions

**FATCA & CRS Declaration**

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

**PART A (to be filled by Financial Institutions or Direct Reporting NFEs)**

1. We are a,  Financial institution <sup>3</sup> or  Direct reporting NFE <sup>4</sup> (Please tick as appropriate)

**Global Intermediary Identification Number (GIIN)**  
Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity

**GIIN not available** (Please tick as applicable)  **Applied for**   
If the entity is 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")**

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3. Is the Entity an active <sup>1</sup> non-financial Entity (NFE) <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> (Mention code-refer 2c of Part D)
4. Is the Entity a passive <sup>2</sup> NFE <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____

<sup>1</sup>Refer 2 of Part D | <sup>2</sup>Refer 3(iii) of Part D | <sup>3</sup>Refer 1(i) | <sup>4</sup>Refer 3(vi) of Part D

**\* If passive NFE, please provide below additional details for each of Controlling person.** (Please attach additional sheets if necessary)

Name and PAN / Any other Identification Number <small>(PAN, Aadhaar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)</small>		Occupation Type - <i>Service, Business, Others</i>	DOB - <i>Date of Birth</i>
City of Birth - Country of Birth		Nationality	Gender - <i>Male, Female, Other</i>
		Father's Name - <i>Mandatory if PAN is not available</i>	
1. Name & PAN	<input type="text"/>	Occupation Type	<input type="text"/>
City of Birth	<input type="text"/>	Nationality	<input type="text"/>
Country of Birth	<input type="text"/>	Father's Name	<input type="text"/>
		DOB	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
		Gender	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
1. Name & PAN	<input type="text"/>	Occupation Type	<input type="text"/>
City of Birth	<input type="text"/>	Nationality	<input type="text"/>
Country of Birth	<input type="text"/>	Father's Name	<input type="text"/>
		DOB	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
		Gender	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
1. Name & PAN	<input type="text"/>	Occupation Type	<input type="text"/>
City of Birth	<input type="text"/>	Nationality	<input type="text"/>
Country of Birth	<input type="text"/>	Father's Name	<input type="text"/>
		DOB	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
		Gender	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>

\*Additional details to be filled by controlling persons with tax residency/ permanent residency / citizenship / Green Card in any country other than India:

To include US, where controlling person is a US citizen or green cardholder

\*Incase Tax Identification Number is not available, kindly provide functional equivalent

### FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

\*It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

### Part C : Certification

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and here by confirm that the information provided by me /us on this Form is true, correct, and complete. I /We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and here by accept the same.

Date:     /     /

Name

Designation

Signature

<b>SIGN HERE</b>	First / Sole Applicant / Guardian/ Authorised Signatory	Second Applicant/ Authorised Signatory	Third Applicant/ Authorised Signatory
	<input type="text"/>	<input type="text"/>	<input type="text"/>

## PART D FATCA Instructions & Definitions

(Note: The Guidance Note/notification issued by the CBDT shall prevail in respect to interpretation of the terms specified in the form)

- 1 (i) 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.
- 1 (ii) Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- 1 (iii) Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable 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.
- 1 (iv) Investment entity is any entity:
- (a) 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 Individual and collective portfolio management; or
- (ii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;
- or
- (b) 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 act 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 04, 05, 06 and 07-refer point (2c.)
- 1 (v) 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.

**1 (vi)** FI not required to apply for GIIN: Refer Rule 114F(5) of Income Tax Rules, 1962 for the conditions to be satisfied as "non-reporting financial institution and Guidance issued by CBDT in this regard.

*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	Trust
09	Non-registering local banks
10	FFI with only Low-ValueAccounts
11	Sponsored investment entity and controlled foreign corporation
12	Sponsored, Closely Held Investment Vehicle

**2. Active Non-financial entity (NFE) :** (any one of the following): Refer Explanation (A) to 114F(6) of Income Tax Rules, 1962 for details.

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is 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 stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity, the stock of which is regularly traded on an established securities market.
03	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
04	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 buy out 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;
05	The NFE is not yet operating a business and has no prior operating history, but is investing capital in to 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;
06	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;
07	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;
08	<p>Any NFE that full fills all of the following requirements:</p> <p>(i) 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;</p> <p>(ii) It is exempt from income tax in India;</p> <p>(iii) It has no share holders or members who have a proprietary or beneficial interest in its income or assets;</p> <p>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 of representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence 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.</p> <p>Explanation. -For the purpose of this sub-clause, the following shall be treated as full filling the criteria provided in the said sub clause, namely :-</p> <p>(i) An Investor Protection Fund referred to in clause (23EA);</p> <p>(ii) A Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</p> <p>(iii) An Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;</p>

**3. Other definitions***(i) 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 director indirect ownership of more than 50% of the votes and value in an entity

*(ii) Passive NFE*

The term passive NFE means

- (i) any non-financial entity which is not an active non - financial entity;
- or
- (ii) an investment entity defined in clause (iv) (b) of these instructions
- (iii) a with holding foreign partnership or with holding foreign trust;

*(iii) Passive income*

The term passive income includes income by way of :

- (1) Dividends,
- (2) Interest
- (3) Income equivalent to interest,
- (4) 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
- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) 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 in to 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 determining the beneficial owner, the procedure specified in the following circular as amended from time to time shall be applied, namely:-

- i. DBOD.AML.BC. No.71/14.01.001/20 12-13, issued on the 18th January, 2013 by the Reserve Bank of India; or
- ii. CIR/MIRSD/2/2013, issued on the 24th January, 2013 by the Securities and Exchange Board of India; or
- iii. IRDA/SDD/GDL/CIR/019/02/2013, issued on the 4th February, 2013 by the Insurance Regulatory and Development Authority.

In the case of trust, the controlling person means the settler of the trust, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar position;

*(A) Controlling Person Type:*

Code	Sub-category
01	Cp of legal person-ownership
02	Cp of legal person-othermeans
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

*(v) Specified U. S. person – A U. S person other than the following:*

- (i) A corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) 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);
- (iii) The United States or any wholly owned agency or instrumentality thereof;
- (iv) 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;
- (v) 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 Code;
- (vi) Any bank as defined in section 581 of the U. S. Internal Revenue Code;
- (vii) Any real estate investment trust as defined in section 856 of the U. S. Internal Revenue Code;
- (viii) 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);
- (ix) Any common trust fund as defined in section 584(a) of the U. S. Internal Revenue Code;
- (x) 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;
- (xi) 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;
- (xii) A broker as defined in section 6045(c) of the U. S. Internal Revenue Code; or
- (xiii) 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) 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.

(vii) Exemption code for U. S. persons (Refer 114F(9) of Income Tax Rules, 1962 for details)

Code	Sub-category
A	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
C	A state, the District of Columbia, a possession of the United States, or any of their political sub divisions 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)
E	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
L	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



