ISSL

SETTLEMENT

&

TRANSACTION

SERVICES

LIMITED

(ISTSL)

A subsidiary of IL&FS SECURITIES SERVICES LIMITED (ISSL)

TM Empanelment Docket

MCX+ NCDEX

INDEX

INSTRUCTIONS

1) Please donot use white ink on any of the documents

2) All alterations, corrections, blank spaces and striked out portions need to be authenticated by affixation of the Client's initials

3) The last page of all the documents requires a full signature and the others can be initialed

4) 'Client Registration Form' (CRF) :

   a) Should be complete in all respects with the non-applicable portions striked out and authenticated

   b) Should be filled in CAPITAL letters

   c) Please provide membership details of only those Exchanges where you wish to avail of ISTSL's services and affix your signature against them

   d) The name of the Client should be exactly the same as on the PAN Card

   e) In case the client is a 'Sole Proprietorship' or a 'Hindu Undivided Family', the name and PAN of the Proprietor / Karta needs to be provided and a SCC of the PAN Card and the document towards Proof of Address needs to be submitted

   f) Address

      i) PO Box No is not accepted as a valid address

      ii) The address filled up in the CRF should be the same as that on the document submitted towards Proof of Address

      iii) The PIN Code is a mandatory requirement and should also appear on the document submitted towards Proof of Address

      iv) Documents acceptable as Proof of Address are :

      Individuals : Valid Passport, Valid Driving License, Voter's Id and Ration Card

      Non-Individuals : Registration Certificate of the Registrar of Companies, acknowledged copy of the latest Income Tax Return, Bank Statement (containing transaction of not more than two months old), wired Landline Telephone Bill (not more than two months old), Electricity Bill (not more than two months old), valid Rent Agreement, valid Leave and License Agreement and Agreement for Sale

g) Financial details as per the latest Networth Certificate ('as on date' being within 6 months of the submission date) and the last two Financial Years and SCC of the supporting documents

h) Details of any adverse regulatory action to be filled up

5) Attachments / Supportings to the CRF required to be submitted are :

a) General - applicable to all Clients

i) SCC of the related FMC / WDRA Registration Certificate

ii) SCC of the PAN Card (both front and back sides)

iii) SCC of the document towards Proof of Address

iv) SCC of the latest Networth Certificate

v) SCC of the Annual Accounts for the last 2 years

vi) SCC of the latest IT Return for the last 2 years alongwith computation

vii) SCC of Cancelled Cheque bearing Account Holder's name, MICR Code, NEFT Code and RTGS Code

b) Additionally applicable to Domestic Body Corporates

i) CTC of the Memorandum & Articles of Association

ii) CTC of the Certificate of Incorporation

iii) CTC of the Board Resolution

iv) CTC of the List of Directors

v) CTC of the Shareholding Pattern

c) Additionally applicable to Limited Liability Partnerships

i) Declaration from the Designated Partners

ii) CTC of the LLP Agreement

iii) CTC of the Certificate of Incorporation

iv) CTC of the current List of Partners

d) Additionally applicable to Partnership Firms

i) Declaration from the Partners

ii) CTC of the Partnership Deed

iii) CTC of the Partnership Registration Certificate

iv) List of Partners and their profit sharing ratio

e) Applicable to Hindu Undivided Families / Proprietorship Firms

i) Declaration from the Karta / Proprietor

ii) SCC of the PAN Card of the Karta / Proprietor

iii) SCC of the document towards Proof of Address of the Karta / Proprietor

6) KYC Details of the Authorized Signatories

a) The name should be exactly the same as on the PAN Card

b) A SCC of the PAN Card, also certified by the TM, is required to be submitted

c) A SCC of a valid document towards the 'Proof of Address', also certified by the TM, is required to be submitted

d) A colour photograph (not a photocopy or a computer printout) of the Authorized Signatory is required to be pasted (not stapled or pinned)

e) The Authorized Signatory is required to affix his / her signature on the photograph and this signature is required to be affixed partly on the photograph and partly outside

f) The signature should match with the one on the PAN Card

7) Specimen Signature Card

The specimen signatures of the Authorized Signatories need to be affixed in black ink

8) 'Clearing Member - Trading Member Agreement' ("CMTM Agreement")

a) Required to be franked for Rs 300.00

b) White Ink not to be used on the document

c) Blank portions required to be striked off and authenticated

d) Corrections / alterations required to be authenticated by affixation of the round stamp and initials of the Authorized Signatories

e) Rubber Stamp and Full Signature to be affixed at the bottom of each page

f) If a Corporate, Common Seal required to be affixed on the last page and signatures of the Authorized Signatories (additional set required) to be affixed next to the Common Seal

g) Affixation of the Common Seal to be witnessed as per the relevant clause in the Board Resolution, which in turn is required to be in consonance with the relevant clause in the Articles of Association of the Company

h) Name, address and signature of two witnesses are required to be affixed on the last page

i) Document is required to be Notarized

j) Execution Date and the date of the Notary should be the same date

9) Document disclosing terms, conditions, policies and procedures needs to be initialed on all pages and signed on the last page

10) The Schedule of Charges (SoC) needs to be signed and submitted to the Clearing Member

11) Undertakings / Letters

The following need to be printed on the letterhead, stamped, signed and submitted :

a) Undertaking of non default

b) Letter providing Bank Account details and proof thereof

c) Letter providing details of Demat Account for settlement of delivery obligations

d) Incase of a shifting from Self Clearing or from some other Clearing Member, requisite letters as per formats provided by ISTSL are required to be submitted

12) The Board Resolution / Declaration, as per the draft format provided by ISTSL, needs to be submitted

13) a) If the client so wishes, it / he / she can execute a Power of Attorney in favour of the Clearing Member, authorizing the Clearing Member to operate selective bank accounts in the name of the Client

b) The PoA is required to be franked for Rs 500.00 and Notarized

c) A letter addressed to the Bank, requesting the Bank to take on record the PoA would be required

d) A CTC of the PoA would be required to be submitted alongwith the PoA and Authority Letter

14) Incase you wish to :

a) submit Securities and / or Commodities in demat form as collateral towards the margin requirement, please provide the demat account details as per the format provided by ISTSL

b) receive your dayend figures and other important communication on your mobile instrument, please provide the mobile numbers on your letterhead as per the format provided by ISTSL

c) receive your dayend reports and other communication in electronic form, please provide the email id(s) on your letterhead as per the format provided by ISTSL

ISSL SETTLEMENT & TRANSACTION SERVICES LIMITED

A subsidiary of IL&FS Securities Services Limited. (ISSL)

Registered Office : IL&FS House, Raheja Vihar, Chandivali, Andheri (E), Mumbai - 400072
Phones : (022) 4249 3000 , 4249 3635 - 4249 3639 / Faxes : (022) 2857 0982 / 2857 7731
Email : Commodity.Desk@issl.co.in , FNO.Group@issl.co.in

Please provide Registration details of the Exchange where you wish to affiliate with ISTSL and affix your signature against the same :

ISTSL's Registration Details		Exchange	Application for empanelment on		
CM Code	FMC Regn No		TM Code	FMC Regn No	Signature
		ACE			
		ICEX			
9050	MCX/CM/CORP/1083	MCX			
		NBOT			
C50717	NCDEX/CM/CORP/0073	NCDEX			
		NMCE			
		UCX			
		NSEL			
		NSPOT			

Name

PAN	Date of Birth / Incorporation

Legal Status / Constitution :	
Resident Individual	Sole Proprietorship
Partnership Firm	Limited Liability Partnership
Hindu Undivided Family	Domestic Body Corporate
Trust	Society
Association of Persons	Financial Institution
Bank	Non Banking Finance Company
Other -	

If the Applicant is a Sole Proprietorship / Hindu Undivided Family, please furnish the Name & PAN of the Proprietor / Karta :

Name :	PAN :

Address (Registered Office / Principle Place of Business) :		
City	State	PIN

Document to support the aforementioned address :			
Document	Number	Date of Issue	Valid Till

Correspondence Address (if not the same as the Registered Office address) :		
City	State	PIN

Document to support the aforementioned address :			
Document	Number	Date of Issue	Valid Till

Contact Details :	
Phone No(s)	(STD Code -) -
Fax No(s)	(STD Code -) -
Email Id(s)	

Person to be contacted during an urgent requirement / emergency situation (should be one of the Authorized Signatories) :	
Name	Designation
Mobile No	Residence No ( )
Email Id	
Residence Address	

Occupation	
Source of funds	
Nature of business	

Financial Details :		
Networth as on	- Rs	
Annual Income :		
FY	FY	FY
Rs	Rs	Rs

Please advise whether any adverse action has been taken by any Exchange (Stock, Currency, Commodity or any other) or any Regulator (APMC, SEBI, RBI, FMC, WDRA, EOW, FIU or any other Taxation / Regulatory / Government Authority) against the Applicant and / or its Partners / Promoters / Directors / Authorized Signatories / Key Managerial Personnel and / or the Applicant's Associates / Group Companies during the last 3 years. If yes, please provide details as a separate annexure	Yes / No

Do you or any of your Partners / Promoters / Directors, Authorized Signatories and Key Managerial Personnel have any exposure to Politically Exposed Person(s) (PEPs) as defined by the Regulator(s) from time-to-time ? A PEP has been currently defined as "an individual and / or a family member / close relative of an individual who is, or has been, entrusted with prominent public functions in a foreign country such as heads of states or / of governments, senior politicians, senior government or judicial or military officers, senior executives of state-owned corporations or important political party officials". If yes, please provide details of this exposure / relationship, the source of funds and the wealth of persons identified as PEP(s) as a separate annexure	Yes / No

Declarations :

I / We confirm having read / been explained and understood the contents of the Tariff Sheet / Schedule of Charges and all voluntary / non-mandatory documents. I / We hereby state that the information given above is true, correct and complete to the best of my / our knowledge and information. I / We further state that no relevant material fact has been suppressed. I / We agree that in the event of any of the above statements being found false, incorrect or incomplete, I / we understand that ISTSL may take any action as it may deem fit, including termination of this relationship. I / We hereby undertake to inform ISTSL about any change in the abovementioned facts within 15 days of the change taking place / coming to my / our knowledge, whichever is earlier. I / We are aware of the Laws, Rules, Regulations, Bye-Laws, Circulars, and Notifications of the respective Regulator(s), the respective Exchange(s) and their respective Clearing Corporation(s) as well as the Terms & Conditions laid down by ISTSL and agree to abide by them. I / We further confirm that I / we shall abide by the applicable / relevant Acts / Laws, including the Prevention of Money Laundering Act, 2002 and shall be solely responsible for adherence to the same. I / We hereby confirm that the funds invested into this business have been and shall be sourced through legitimate sources only and would not be used for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act, Prevention of Corruption Act and / or other rule(s), regulation(s), notification(s), law(s), act(s) etc. in force and as modified from time to time by the Government of India

Date : ______________

Place : _____________

Stamp & Signature of the Applicant / Authorized Signatory

FOR OFFICE USE ONLY :

☐ (Originals Verified) True copies of documents received

☐ (Self Attested) Self Certified Document copies received

Signature of the Authorized Signatory

Date : ___________________

Seal / Stamp of the Intermediary

(Please take photocopies of this page on your letterhead)

KYC details of the Directors / Partners / Authorized Signatories of
M/s ____

Name :				Photograph to be affixed (pasted and not stapled) here. Please sign across the photograph in a manner whereby a portion of the signature appears on the photograph and the rest outside the photograph
Designation :	DIN :			
PAN :	UID :			
Direct No :	Mobile No :			
RWA :	PEP	RPEP	NO	
Residential Address :				
Document towards Proof of Address :				

Name :				Photograph to be affixed (pasted and not stapled) here. Please sign across the photograph in a manner whereby a portion of the signature appears on the photograph and the rest outside the photograph
Designation :	DIN :			
PAN :	UID :			
Direct No :	Mobile No :			
RWA :	PEP	RPEP	NO	
Residential Address :				
Document towards Proof of Address :				

Name :				Photograph to be affixed (pasted and not stapled) here. Please sign across the photograph in a manner whereby a portion of the signature appears on the photograph and the rest outside the photograph
Designation :	DIN :			
PAN :	UID :			
Direct No :	Mobile No :			
RWA :	PEP	RPEP	NO	
Residential Address :				
Document towards Proof of Address :				

RWA = Relationship with Applicant (eg. Promoter, etc) , PEP = Politically Exposed Person , RPEP = Related to Politically Exposed Person

Date : _____________
Place : ____________

Stamp & Signature of the Applicant / Authorized Signatory

For Non Individuals : On the letterhead of your organization

Specimen Signatures of the Directors / Partners / Authorized Signatories of
M/s ____

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Initials	Full Signature
Name :	

Stamp & Signature of the Applicant

FOR OFFICE USE ONLY :

	Name of the Employee	Employee Code	Designation of the Employee	Date	Signature
Documents Verified With Originals By					
Client Interviewed By					
In-Person Verification Done By					
Back-office System Updated By					
Updated Data Checked By					
Copy of Executed Documents Dispatched By					

I / We undertake that we have made the client aware of ‘Policy and Procedures’, ‘Tariff Sheet / Schedule of Charges’ and all Non-Mandatory documents. I / We have given / sent the client a copy of all the KYC documents. I / We undertake that any change in the ‘Policy and Procedures’, ‘Tariff Sheet / Schedule of Charges’ and all the Non-Mandatory documents would be duly intimated to the client. I / We also undertake that any change in the ‘Rights and Obligations’ and ‘Risk Disclosure Document’ would be made available on our website, if any, for the information of the clients

Signature of the Authorized Signatory

Date : ___________________________

Seal / Stamp of the Intermediary

Annexure to Account opening Form for Non-Individuals containing information for reporting requirement under Section 285BA of the Income-tax Act, 1961 and KYC.

Background:

1. India has joined the Multilateral Competent Authority Agreement (MCAA) on Automatic Exchange of Financial Account Information (AEOI) on June 3, 2015 and has agreed to certain global standards on automatic exchange of information, known as Common Reporting Standards (CRS). Further, the Government of India (GoI) signed an Inter-Governmental Agreement (IGA) with United States of America (USA) on July 9, 2015 to improve international tax compliance and to implement Foreign Account Tax Compliance Act (FATCA) in India.

2. To implement the CRS on AEOI and also the IGA with USA, the GoI has made necessary amendments in Section 285BA of the Income-tax Act, 1961 and notified Rules 114F to 114H in the Income-tax Rules, 1962 vide amendment dated August 7, 2015. These Rules are available on: http://www.incometaxindia.gov.in

3. SEBI has issued a circular dated August 26, 2015 advising all registered intermediaries to implement FATCA and CRS as per above mentioned Rules.

   We do understand that the information mentioned above is technical in nature and hence we advise you to consult your financial or tax advisor for more details.

	COMMODITY		
	MCX	**NCDEX**	
Please Tick☐			

1. Entity Details

Entity Constitution Type : (Please tick one of the following) :

Sole Proprietorship	Partnership Firm	HUF	Private Limited Company
Public Limited Company	Society	AOP/BOI	Trust
Liquidator	Limited Liability Partnership	Artificial Juridical Person	Not Categorised.
Others			

Name of the Entity :	
PAN:	Date of Incorporation :
Place of incorporation (City):	
Date of Commencement of Business:	
Country of Incorporation : ☐ India ☐ Other (ISO 3166 Country Code as per Annexure 6) ☐☐	
Nature of Business (kindly fill details as per Annexure 5) :	
Identification Type (tick as applicable) ☐ Company identification Number ☐ Trust registration Number	

☐ TIN/Tax deduction Account Number (TAN) ☐ US GIIN	☐ Global Entity Identification Number (EIN) ☐ Other
Identification Number :	Identification issuing Country: ☐☐ (ISO 3166 Country Code as per Annexure 6)

2. Proof of Identity (POI)

(Certified copy of any one of the following Proof of Identity needs to be submitted)

☐ Certificate of Incorporation/Formation
☐ Registration Certificate
☐ Resolution of Board/ Managing Committee
☐ Memorandum and Article of Association/Partnership Deed/Trust Deed
☐ Officially valid documents in respect of person authorized to transact

3. Proof of Address: (POA)

(Certified copy of any one of the following Proof of Address(POA) needs to be submitted)

3.1 Current/ Permanent/Overseas Address Details

Address Type : ☐ Residential Or Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address: Certificate of incorporation/Formation ☐ Registration Certificate ☐

Address :

City/ Town/ Village :	State :							
Country :	Pin/Postal Code:							

3.2 Correspondence / local address details

☐ Same as Current/Permanent/Overseas Address Details (In case of multiple correspondence /local addresses, please give the below details as a separate Annexure)

Address Type : ☐ Residential Or Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address: Certificate of incorporation/Formation ☐

Registration Certificate ☐

Address :

City/ Town/ Village :	State :
Country :	Postal Code:

3.3 Address in the Jurisdiction where entity is resident outside India for tax purposes	
☐ Same as Current/Permanent/Overseas Address	☐ Same as Correspondence / Local Address Details
Address Type : ☐ Residential Or Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified	
Proof of Address: Certificate of incorporation/Formation ☐ Registration Certificate ☐	
Address :	
City/ Town/ Village :	State :
Country :	Pin/Postal Code: ☐☐☐☐☐☐☐

4. Declaration of Tax Residency
Please indicate the Entity's place of tax residence (if resident in more than one country please detail all countries and associated tax identification number (TIN) and TIN issuing country).

Country/countries of tax residency	Tax Identification number (TIN)/ Functional Equivalent number	TIN/ functional Equivalent Issuing Country	Document type attached (tax residence certificate or TIN card or others)	Date upto which the documentary evidence is valid

(Documentary evidence to be provided for foreign country of tax residence and TIN)

If tax resident of Country outside India, kindly provide confirmation as under:

(1) If US tax resident, kindly confirm whether the Entity is a US Specified Person. – Yes / No
If No, Kindly indicate exclusion number from **Annexure 1**

____

(2) If tax resident of country other than USA, kindly tick if any of the following is applicable:

(i) a corporation, the stock of which is regularly traded on one or more established securities markets;

(ii) any corporation that is a related entity of a corporation mentioned in item

(iii) a Governmental entity;

(iv) an International organization;

(v) a Central bank; or

(vi) a financial institution

Entity Classification

A. Financial Institution

1. R***eporting Financial Institution* – Yes/ No**
   If Yes, please tick atleast one of the below categories, and provide your FATCA Global Intermediary Identification Number (GIIN):

Depository Institution		Custodial Institution	
Investment Entity		Specified Insurance Company	

GIIN____

2. ***Non–reporting financial institution*** - Yes/ No

   If Yes, please provide category from Annexure 2:------------

3. Sponsored Investment Entity and has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide the Sponsoring Entity's name and GIIN.
   Sponsoring Entity's Name: ________________________
   Sponsoring Entity's GIIN: ________________________

4. Trustee Documented Trust and has not yet obtained a GIIN. Please provide the Trustee's name and the GIIN
   Name of the Trustee of the Trust: ______________________________
   GIIN of the Trustee: _________________________

5. Owner documented Financial Institution - Yes/ No. If Yes, each controlling person should fill details as per Annexure A

6. Non-Participating Foreign Financial Institution - Yes/ No

B. Non -Financial Entity (NFE):

1. ***Active NFE – Yes/ No***
   If Yes, provide category from **Annexure 3**
   If category is Sl No 2, please provide the following details, as applicable:
   (a) If listed company, provide name of the Stock Exchange on which listed________________________________
   (b) If related entity of listed company, please provide
   (i)Name of the company __________________________

(ii) Stock Exchange on which listed___________________________

2. ***Passive NFE – Yes/ No***.
   (i) If Yes, provide category from Annexure 4
   Each Controlling Person of the Passive NFE should fill Controlling Persons from Annexure A.

3. ***Direct reporting NFE - Yes/ No***
   If Yes, provide the GIIN _________________________

DETAILS OF RELATED PERSON (In case of additional related persons please provide the following information as a separate annexure

☐Addition of Related Person ☐ Deletion of Related Person
KYC Number of Related Person (if available) :
Related Person Type:

☐Director ☐ Promoter ☐Karta ☐rustee ☐artner ☐uthorised Signatory
☐Court Appointed Official ☐Beneficiary

Name Of Related Person:		
Maiden Name (if any)		
Spouse's Name :		
Father's Name :		
Mother's Name:		
Date of Birth (DD/MM/YYYY format) :		
PAN :	Place/City of Birth :	Country of Birth : ☐☐ (ISO 3166 Country Code as per Annexure 6)
Gender : ☐ M – Male ☐ F – Female		☐ T - Transgender
Nationality : ☐ Indian ☐☐ Others (ISO 3166 Country Code as per Annexure 6)		
Martial Status: ☐ Married ☐ Unmarried ☐ Others		
Residential Status: ☐ Resident Individual ☐ Non Resident Indian		☐ Foreign National ☐ Person of Indian Origin
Occuptaion Type: ☐ Service [☐ Private Sector ☐ Public Sector ☐ Government Sector] Business		

☐ Others [Professional☐ Self Employed ☐ Retired ☐ Housewife ☐ Student]
☐ Not Categorized

Tick if Applicable ☐ Residence for Tax Purposes in Jurisdiction(s) Outside India
If yes, please provide the following details:
ISO 3166 Country Code of Jurisdiction of Residence: ☐☐
Tax Identification Number or equivalent (if issued in jurisdiction)
Place/ City of Birth:
Country of Birth:

Proof of Identity (POI)
(Certified copy of any one of the following Proof of Identity needs to be submitted)
☐A - Passport Number Passport Expiry Date (DD/MM/ YYYY format)
☐B - Voter ID Card
☐C - PAN Card
☐D - Driving License Driving License Expiry date(DD/MM/ YYYY format)
☐E - UID (Aadhaar)
☐F - NREGA Job Card
☐Z - Others Identification Number :
(any document notified by Central government)

Proof of Address: (POA)
(Certified copy of any one of the following Proof of Address needs to be submitted)

Current/ Permanent/Overseas Address Details

Address Type : ☐ Residential Or Business ☐ Residential ☐ Business
☐ Registered Office ☐ Unspecified

Proof of Address:

☐Passport

☐Driving License

☐UID (Aadhaar)

☐Voter ID Card

☐NREGA Job Card

☐Others (Please specify)

Address :

City/ Town/ Village :	State :							
Country :	Pin/Postal Code:							

Declaration and Undertakings

The Customer/account holder certifies that:

a) the information provided in the Form is in accordance with Section 285BA of the Income- tax Act, 1961 read with Rules 114F to 114H of the Income-tax Rules, 1962.
b) the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
d) I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self-certification along with documentary evidence.
e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GoI) /Reserve Bank of India for the purpose or take any other action as may be deemed appropriate by the company if the deficiency is not remedied by us within the stipulated period.
f) I / We hereby accept and acknowledge that the company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the company.
g) It shall be my responsibility / our responsibilities to educate myself / ourselves and to comply at all times with all relevant laws relating to reporting under Section 285BA of the Act read with the Rules thereunder.
h) I/We also agree to furnish such information and/or documents as the company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
i) I/We shall indemnify the company for any loss that may arise to the company on account of providing incorrect or incomplete information.
j) I / We certify that I/we have the capacity to sign for the entity as per CBDT rules/SEBI guidelines.

Authorised Signatures

Name: ______________________

Position/Title: _____________________

Date: (DD/MM/YYYY) ________________

Stamp & Signature of the Applicant

Annexure A – Controlling Person Self certification

Number of Controlling Persons:		
Controlling Person Type:		
☐ Legal Persons	☐ Ownership ☐ Other means ☐ Senior Managing Official	
☐ Legal Arrangement	Trust: ☐ Settlor ☐ Trustee ☐ Protector ☐ beneficiary ☐ Others	
	Others: ☐ Settlor equivalent ☐ Trustee equivalent ☐ Protector equivalent ☐ Beneficiary equivalent ☐ Others equivalent	
☐ Unknown		
Name of Controlling Person :		
Father's name :		
Maiden Name (if any)		
Mother's Name:		
PAN :		Aadhar Number :
Identification Type (*tick and provide as proof of identity)*:	☐ Passport ☐Election Id Card ☐PAN Card ☐Voter ID Card ☐ Driving License ☐ UIDAI letter(Aadhaar) ☐NREGA job card ☐Others ☐Not categorised	Passport Expiry Date (DD/MM/YYYY) Driving License Expiry Date (DD/MM/YYYY) Identification Number---------

<table>
<tr><td>Identification Number (mentioned in the Identification Document):</td><td colspan="3"></td></tr>
<tr><td>Occupation Type</td><td colspan="3">☐ Service ☐Private Sector ☐ Public Sector ☐ Government Sector
☐ Business
☐ Others ☐Professional ☐Self Employed ☐Retired ☐Housewife ☐Student
☐ Not Categorised</td></tr>
<tr><td colspan="2">Gender : ☐ Male ☐ Female ☐Transgender</td><td colspan="2">Status : ☐ Resident Individual
☐ Non Resident Indian
☐ Foreign National
☐ Person of Indian Origin</td></tr>
<tr><td colspan="4">Nationality : ☐ Indian
☐ Other (Please specify the name of country) :</td></tr>
<tr><td colspan="4">Martial Status:
☐ Married
☐ Unmarried
☐ Others</td></tr>
<tr><td colspan="2">Date of Birth :</td><td colspan="2">Place/City of Birth:</td></tr>
<tr><td colspan="2">Country of Birth :</td><td colspan="2">Country of Residence as per tax laws:</td></tr>
<tr><td colspan="2">Phone No(s) :</td><td colspan="2">Mobile No(s) :</td></tr>
<tr><td colspan="4">Email Id(s) :</td></tr>
<tr><td colspan="4">Other Contact Number :</td></tr>
<tr><td colspan="4">Proof of Address: (POA)</td></tr>
<tr><td colspan="4">Current/Permanent/ Overseas Address Details</td></tr>
<tr><td colspan="4">Address Type : ☐ Residential Or Business ☐ Residential ☐ Business
☐ Registered Office ☐ Unspecified</td></tr>
<tr><td colspan="4">Proof of Address:
☐ Passport
☐ Driving License
☐ UID(Aadhaar)
☐ Voter Identity Card
☐ NREGA Job Card
☐ Others</td></tr>
<tr><td colspan="4">Complete Address :</td></tr>
<tr><td colspan="2">City/ Town / Village:</td><td colspan="2">State :</td></tr>
<tr><td colspan="2">Country :</td><td>Pin/Postal Code:</td><td></td></tr>
</table>

Declaration of Tax Residency Please indicate the Country of tax residence (if resident in more than one country please detail all countries and associated tax identification number and TIN issuing country).				
Country/countries of tax residency	**Tax Identification number (TIN)/ functional equivalent number**	**TIN / Functional Equivalent Issuing Country**	**Documentary Evidence enclosed for country of tax residence or TIN or others**	**Date upto which the documentary evidence is valid**

Declaration and Undertakings

I / We certify that:

a) the information provided in the Form is in accordance with Section 285BA of the Income- tax Act, 1961 read with Rules 114F to 114H of the Income-tax Rules, 1962.
b) the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
d) I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self-certification alongwith documentary evidence.
e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GoI) /Reserve Bank of India for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.
f) I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under Section 285BA of the Act read with the Rules thereunder.
h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.

Authorised Signatures

Name : ________________________

Position/Title : ________________________

Date: (DD/MM/YYYY) : ______________________

Stamp & Signature of the Applicant

Instructions:

1. All the information mentioned above have to be mandatorily provided.

Annexure A should be filled separately by each Controlling Person for all Accounts

Information on the terms used in the Annexure to the Account opening form:

Terms in the Annexure:

- Reporting financial institution means a custodial institution, a depository institution, an investment entity, or a specified insurance company which is registered with US IRS and obtained a Global Intermediary Identification Number (GIIN).
- "custodial institution" means any entity that holds, as a substantial portion of its business, financial assets for the account of others
- "depository institution" means any entity that accepts deposits in the ordinary course of a banking or similar business;
- "investment entity" means any entity,-
  (A) that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer, namely:-
  (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) otherwise investing, administering, or managing financial assets 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 financial institution.
- "specified insurance company" means any 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;
- Owner Documented Financial institution: It is an Financial Institution which does not report to the US IRS. Owner documented FI are generally small investment entities.
- Direct Reporting Non-financial Entity – It is a Passive NFE but will not share the details of the controlling persons with the financial institution it maintains accounts with but will report directly to US IRS and so its GIIN should be taken
- Controlling persons means natural persons who exercise control over an entity who includes a beneficial owner as defined in Explanation to sub-rule (3) of rule 9 Prevention of Money-laundering (Maintenance of Records) Rules, 2005. In determining the beneficial owner the procedure specified in the in the circular CIR/MIRSD/2/2013, issued on the 24th January, 2013 by the Securities and Exchange Board of India as amended from time to time shall be applied. In the case of Trust, the controlling persons mean the settlor, the trustees, the protector, 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 position.

Annexure 1: Exclusions from being treated as Specified US Persons

Sr.	Type of entity

No.	
1	a corporation the stock of which is regularly traded on one or more established securities markets;
2	a member of the same expanded affiliated group of the listed company,
3	the United States or any wholly owned agency or instrumentality thereof
4	US State or Territory, any political subdivision, or any wholly owned agency or instrumentality
5	501(a) Entity or 7701(a)(37) individual retirement plan
6	bank as defined in section 581 of the U.S. Internal Revenue Code;
7	real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code
8	regulated investment company or entity under the Investment Company Act of 1940
9	any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
10	any tax exempt trust
11	a registered dealer in securities, commodities, or derivative financial instruments
12	a broker as defined in section 6045(c) of the U.S. Internal Revenue Code;
13	any tax-exempt trust under a plan that is described in section 403(b) or section 457(g)

Annexure 2:**"Non-reporting financial institution"**

Sr No	Category
1	a Governmental entity, International Organisation or Central Bank, other than wih respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by reporting financial institution
2	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;
3	a non-public fund of the armed forces, Employees' State Insurance Fund, a gratuity fund or a provident fund;
4	An Indian investment entity held only by (1) to (3) above
5	a qualified credit card issuer;
6	Sepcified Investment advisor or investment manager or executing broker
7	Specified exempt collective investment vehicle
8	a financial institution with a local client base
9	a local bank*
10	a financial institution with only low-value accounts
11	sponsored investment entity and controlled foreign corporation
12	Trustee documented trust
13	sponsored closely held investment vehicle, in case of any U.S. reportable account

**Regional Rural Banks constituted under the Regional Rural Bank Act 1976 (21 of 1976), Urban Cooperative Banks constituted under respective State Cooperative Societies Acts or Multi State Cooperative Societies Act, State Cooperative Banks or District Central Cooperative Banks constituted under respective State Cooperative Societies Act and Local Area Banks licensed under the Banking Regulations Act, 1949 (10 of 1949) and regulated and registered as public limited companies under the Companies Act, 1956 (1 of 1956) or Companies Act, 2013 (18 of 2013), that satisfy the requirement under sub-clause (iv) shall be treated as local bank for the purpose of this clause.*

Annexure 3: Active Non-Financial Entity (NFE)

Sr no.	Category of Active NFFE
1	Less than 50 per cent of the entity's gross income for the preceding *financial year* is passive income and less than 50 per cent of the assets held by the entity during the preceding financial

	year are assets that produce or are held for the production of passive income; or
2	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; or *Explanation*.- For the purpose of this sub-clause, an established securities market means an exchange that is officially recognised 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.
3	the entity is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
4	substantially all of the activities of the entity 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 does not qualify for this status if it functions (or holds itself out) 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;
5	the entity 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 entity does not qualify for this exception after the date that is 24 months after the date of the initial organization of the entity;
6	the entity 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;
7	the entity 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;
8	the entity meets all of the following requirements, namely:- (a) 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, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; (b) It is exempt from income-tax in India; (c) It has no shareholders or members who have a proprietary or beneficial interest in its

	income or assets; (d) The applicable laws of the entity’s jurisdiction of residence or the entity’s formation documents do not permit any income or assets of the entity 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 entity’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and (e) The applicable laws of the entity’s jurisdiction of residence or the entity’s formation documents require that, upon the entity’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 entity’s jurisdiction 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 (III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act

Annexure 4 - Passive Non-Financial Entity (NFE)

Sr no.	Category of Passive NFFE
1	Any non-financial entity which is not an active non-financial entity
2	An investment entity described in sub-clause (B) of clause (c) of the Explanation to clause (3)
3	A withholding foreign partnership or withholding foreign trust

Annexure 5: Business codes as per income-tax return form ITR 6

Sr. No.	Sector	Sub-sector	Code
1	Manufacturing Industry	Agro-based industries	0101
		Automobile and Auto parts	0102
		Cement	0103
		Diamond cutting	0104
		Drugs and Pharmaceuticals	0105
		Electronics including Computer Hardware	0106
		Engineering goods	0107
		Fertilizers, Chemicals, Paints	0108
		Flour & Rice Mills	0109
		Food Processing units	0110
		Marble & Granite	0111
		Paper	0112
		Petroleum and Petrochemicals	0113
		Power and energy	0114
		Printing & Publishing	0115
		Rubber	0116
		Steel	0117
		Sugar	0118
		Tea, Coffee	0119
		Textiles, handloom, Power looms	0120
		Tobacco	0121
		Tyre	0122
		Vanaspati & Edible Oils	0123
		Others	0124
2	Trading	Chain Stores	0201
		Retailers	0202
		Wholesalers	0203
		Others	0204
3	Commission Agents	General Commission Agents	0301
4	Builders	Builders	0401
		Estate Agents	0402
		Property Developers	0403
		Others	0404
5	Contractors	Civil Contractors	0501
		Excise Contractors	0502
		Forest Contractors	0503
		Mining Contractors	0504
		Others	0505
6	Professionals	Chartered Accountants, Companies Secretaries, etc	0601
		Fashion designers	0602

		Legal professionals	0603
		Medical professionals	0604
		Nursing Homes	0605
		Specialty hospitals	0606
		Others	0607
7	Service Sector	Advertisement agencies	0701
		Beauty Parlours	0702
		Consultancy services	0703
		Courier Agencies	0704
		Computer training/educational and coaching institutes	0705
		Forex Dealers	0706
		Hospitality services	0707
		Hotels	0708
		I.T. enabled services, BPO service providers	0709
		Security agencies	0710
		Software development agencies	0711
		Transporters	0712
		Travel agents, tour operators	0713
		Others	0714
8	Financial Service Sector	Banking Companies	0801
		Chit Funds	0802
		Financial Institutions	0803
		Financial service providers	0804
		Leasing Companies	0805
		Money Lenders	0806
		Non-Banking Finance Companies	0807
		Share Brokers, Sub-brokers, etc.	0808
		Others	0809
9	Entertainment Industry	Cable T.V. productions	0901
		Film distribution	0902
		Film laboratories	0903
		Motion Picture Producers	0904
		Television Channels	0905
		Others	0906

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM

American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU

Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		