

CORPORATE DEPOSIT

(For applicants with 4th letter of PAN as G, L or C)

BAJAJ FINANCE LIMITED

CD\_V2

PLEASE USE BLOCK LETTERS AND TICK (✓) IN APPROPRIATE PLACES

Date DDMMYY

FOR OFFICE USE: Broker Code: 125292 Scheme Code:

Customer ID Application Form No.:

I/We apply for fresh or renewal (old deposit ID ) of deposit Type of product: Corporate Deposit Smart Deposit

Interest payout instruction

| Non Cumulative Scheme                  | Cumulative Scheme  |
|--|--|
| Annually Half-yearly Quarterly Monthly | At maturity alongwith principal Interest compounding (for cumulative schemes only)* Annually Half-yearly Quarterly |

\*Valid only for Corporate deposits. In case no option chosen, interest compounding will be annual by default. For smart deposits, interest compounding will be annual by default.

Company Details

Name

LEI Number LEI Renewal Date DDMMYY

Date of Incorporation DDMMYY Company Identification Number

PAN Mobile Landline S T D PHONE NUMBER

Correspondence Address / Principal place of business

Registered Address

Email ID Company Registration Number

Type of entity: Statutory Board Local Authority Co. registered u/s 8 of Companies Act 2013 or u/s 25 of Companies Act 1956 Banks and Financial Institutions Cooperative society registered under the Cooperative Societies Act Other companies Others

Authorized Signatories

1) Name MOBILE Email ID Residential Status: Resident NRI Director Identification No. / Designated Partner Identification No

2) Name MOBILE Email ID Residential Status: Resident NRI Director Identification No. / Designated Partner Identification No

3) Name MOBILE Email ID Residential Status: Resident NRI Director Identification No. / Designated Partner Identification No

Investment Details

Investment Fresh Renewal If Renewal, existing Deposit No. Maturity Date of existing deposit DDMMYY

Fresh Deposit Amount Numeric Rs. Words

Deposit Term in months OR Deposit term in days OR Desired maturity date DDMMYY

Deposit Option Cumulative Non-cumulative Rate of Interest

Payment Details

Payment details (Account payee cheque to be drawn in favour of "Bajaj Finance Ltd. Account Number 00070350011157")

Cheque No. Bank Name Bank Account Number

Account Type Branch IFS Code

UTR/Reference No. (Applicable for deposit amount electronically transferred through RTGS/NEFT)

RTGS Details: Account Name: BAJAJ FINANCE LIMITED BFICD7 Account No.: BFICD7 Bank Name: HDFC BANK LTD Branch Name: BHANDARKAR ROAD BRANCH, PUNE IFS Code: HDFC0000007

KYC Details

Customer is required to submit certified true copy of the following documents to comply with KYC requirements:

1. Certificate of incorporation/registration and Memorandum & Articles of Association is required. For Statutory bodies, a certified copy of the permission granted by the Government authority/ respective Ministry is required.

2. Board resolution/resolution passed by institutions/societies permitting investment, opening a deposit and claiming the maturity proceeds.

3. PAN card of the company

4. Latest telephone/electricity bill or bank account statement and a cancelled cheque

5. An officially valid document (PAN, passport, driving license, Voter's identity card) identifying the persons authorized for such transactions and their addresses. In case such person is a director, then Directors Identification no. is mandatory above

6. BO declaration is required to be filled by every non-individual.

7. For entities other than companies, any document to establish the legal existence of such an entity/ juridical person.

8. Document specifying the names of the relevant persons holding senior management position

9. Address proof of registered office and the principal place of its business, if it is different.

Customer's Consent and Confirmation

- I/We confirm and agree that:
- All particulars, information and details provided above together with documents submitted to Bajaj Finance Limited ("BFL") are true, correct and up to date and I/We am/are obliged to keep BFL immediately updated of any change in the information provided by me in this Application Form. I/we hereby agree to provide all other documents and information, in such form and manner, as may be prescribed by BFL in relation to this application. I/We confirm that BFL is under no obligation to verify the information, details and/or documents submitted hereunder and BFL shall not be liable for any loss suffered by any person due to reliance on such information, details and/or documents.
  - I/We confirm that I/We have read and understood the detailed Terms and Conditions annexed to this Application ("Terms") including the interest rate and other charges, the financials and other statements/particulars/representations furnished by BFL and the applicant shall be bound by the said Terms including any additions/amendments therein from time to time.
  - The amount placed under deposit is received through legitimate sources and/or is not designed for the purpose of any contravention or evasion of the provisions of any applicable laws including but not limited to the Prevention of Money Laundering Act, 2002 and any rules, regulations, notifications, guidelines or directions thereunder, as amended from time to time.
  - I/We agree that any and all information provided by me/us in this application, all deposit(s) held by me/us with BFL may be disclosed by BFL to any statutory/regulatory/judicial authorities as and when required and to provide any additional document and/or information as may be prescribed by BFL/said authorities in relation to this Application.

Signature of all Authorized Signatories along with stamp of the applicant organization:

First \_\_\_\_\_ Second \_\_\_\_\_ Third \_\_\_\_\_

TERMS AND CONDITIONS

- These Terms and Conditions together with terms contained in the application form and Deposit Receipt shall apply to and govern the Corporate Deposit(s) ("Deposit"), (collectively, the "Terms"). By submitting the application form to Bajaj Finance Limited ("BFL") for opening a Deposit Account, the deposit holder confirms that it will be bound by these terms and conditions.
- Deposits shall not be accepted in cash.
- The Company reserves the right to accept or reject any application received for opening or placing the Deposit without assigning any reason whatsoever. The amount in relation to such rejected Application will not earn any interest and the Company will endeavor to refund the said amount within 10 (ten) business days.
- The entities incorporated/registered/constituted in India and carrying business in India are eligible for placing Deposit with BFL.
- For placing the Deposit, the applicant shall submit to the satisfaction of BFL, the application form along with all documents detailed in the application form or such other documents prescribed by BFL from time to time.
- The minimum deposit amount is Rs.25000/-.
- The applicant may transfer funds to BFL through a Real Time Gross Settlement (RTGS) transaction or a cheque, as per the details provided below:

Investment in Corporate deposit

|   |  |
|---|--|
| <b>Bank account details for remittance of funds through RTGS:</b><br>Beneficiary name: BAJAJ FINANCE LIMITED BFICD7<br>IFSC code: HDFC0000007   Account number: BFICD7<br>Bank name and branch: HDFC BANK LTD, BHANDARKAR ROAD BRANCH, PUNE | <b>Cheque Details:</b><br>CTS compliant Account Payee Cheque drawn in the name of "BAJAJ FINANCE LIMITED - ACCOUNT NUMBER 00070350011157". |
|---|--|

- Interest will be calculated from date of realization of cheque/receipt of RTGS funds towards the Deposit.
- The dates for interest payments are as follows:
  - In case of Non- Cumulative Deposits:
    - Monthly interest payments: Last date of month
    - Quarterly interest payments: 31st March, 30th June, 30th September and 31st December
    - Half yearly interest payments: 31st March and 30th September
    - Annual interest payments: 31st March
  - In case of Cumulative Deposits: Date of maturity of the Deposit.
  - Interest calculation methodology
    - For the purpose of interest calculation, calendar year is taken to consist of 366 days in a leap year and 365 days in a non-leap year.  
E.g. FD of Rs. 10 lakhs booked on 15-Apr-2020 for Tenor 1 year @10% per annum Interest from 15-Apr-2020 till 31-12-2020, will be calculated as:10lakhsx10%x261/366 days = Rs.71311 Interest from 01-Jan-2021 till 14-Apr-2021 will be calculated as:10lakhsx10%x104/365 days = Rs. 28493/-
    - In case your maturity payment date falls on a banking holiday, your maturity proceeds will be credited to the bank account registered with us, on the banking holiday.
- No additional ROI benefit will be given on renewal of the deposit.
- Interest (net of tax deducted at source, where applicable) will be paid through electronic payment instruction only, to the bank account of the depositholder as mentioned in the application form, or such other bank account as intimated to BFL from time to time, jointly by all authorised signatories, in writing. If, electronic payment instruction facility is not available, interest shall be paid by "Account Payee" cheque drawn in favour of the depositholder.
- Income-tax, wherever applicable, will be deducted at source from interest in accordance with Section 194-A of the Income Tax Act, 1961.
- BFL shall have the first and paramount right of lien and set off, irrespective of any other lien or charge, present as well as future, on all deposits of the depositholder with BFL to the extent of any outstanding dues payable by the depositholder to BFL.
- BFL will make repayment of the Deposit on the date of maturity of such Deposit, as per the bank account details provided in the application form, through NEFT/RTGS payment mode only. For deposit amount upto 5 Cr, maturity payout will happen even on non-working/ Non-Banking day and the same date will reflect in the fixed deposit receipt. For deposit amount greater than 5 Cr, in case the date of maturity happens to be a non-working/ Non-Banking day the maturity payout will be done on the next working/banking day and the same date will reflect in the fixed deposit receipt. Interest payable would be only up to the day maturity proceeds are paid out. For renewal of the Deposit, a fresh application form will be required to be submitted along with the discharge Deposit Receipt. Renewal of the Deposit will be subject to the rate of interest and other terms & conditions prevailing on the date of such renewal.
- Request for premature withdrawal may be permitted at the sole discretion of BFL and penalties will be as per the terms of the deposit. Income tax wherever applicable and deducted at source and remitted to the applicable tax authority by the Company on behalf of the depositor, before premature withdrawal of Deposit(s), shall not be refunded in any circumstance whatsoever.
- Restriction:** Deposit(s) is/are not transferable and non-assignable.
- Loan Against Deposit and Lien Marking
  - Loan Facility Against Deposit: The Deposit Holder may avail a loan against the Deposit, subject to:
    - Fulfillment of eligibility criteria as prescribed by Bajaj Finance Limited ("BFL");
    - Execution of all applicable documents; and
    - Compliance with any other terms and conditions as may be stipulated by BFL.
  - Use of Deposit as Security for Third-Party Loans: The Deposit Holder may also offer the Deposit as security for a loan availed from a third-party lender, subject to the following lien conditions:
    - Lien Terms:
      - Lien in Favour of BFL: The Deposit shall not be released until full repayment of the loan obligations to the satisfaction of BFL.
      - Lien in Favour of Third Party: The lien shall be released only upon receipt of a written confirmation from the third-party lender, provided such confirmation is received prior to the maturity of the Deposit.
      - Validity of Lien: The lien shall remain valid only until the maturity date of the Corporate Deposit (CD) and shall not extend beyond its term.
    - Tenure and Renewal Conditions
      - The loan against the deposit may be availed only for a period not exceeding the tenure of the deposit.
      - If the Corporate Depositor wishes to extend the deposit tenure, a written request must be submitted to BFL before the maturity of the existing deposit.
      - If the deposit is not renewed before its maturity, any lien placed on such deposit shall automatically cease to exist.
      - Premature closure of deposit on account of invocation of lien, is subject to penal rates as per BFL's internal policies.
  - No Auto-Renewal of deposit or Lien
    - Deposits offered as security shall not be subject to auto-renewal.
    - Lien on such Deposits shall be valid only until the defined maturity date and shall not continue thereafter under any circumstances.
    - Renewal of the Deposit shall require a written request from the Corporate Depositor. A standalone request from the lender shall not be considered valid unless accompanied by such written request from the Depositor.
  - Discharge of Lien The Corporate Depositor acknowledges that the lien on the Deposit shall be released only upon receipt of a discharge letter from the lender, in accordance with the terms stated above.
- By submitting this Application, I/we hereby expressly consent and authorise BFL/ its representatives/its agents/ its business partners/its group companies/its affiliates to send me any communication regarding products/services offered by them using various communication channels, such as, telephone, calls/SMS/bitly/bots/emails/post etc, irrespective of rejection of my/our Application.
- Any change in the details provided in the application form shall be carried out only upon receipt of written instructions from the authorized signatory or from registered email ID of the depositholder.
- Any oral communication, representation or assurances made to you by any person with regard to the Financial Products and Services, whether on behalf of BFL or in their independent capacity, are not to be relied upon unless the same is captured in the documents in writing.
- The Terms shall be governed by and construed in accordance with the laws of India. All matters arising out of these Terms and the Deposit shall be subject to the exclusive jurisdiction of the courts or tribunals (as the case may be) at Pune, India.
- In case of any query, please get in touch with the Customer Care at [wecare@bajajfinserv.in](mailto:wecare@bajajfinserv.in).

Application Number

Provisional Receipt

Received from \_\_\_\_\_ Cheque No. \_\_\_\_\_ for INR \_\_\_\_\_  
dated \_\_\_\_\_ drawn on \_\_\_\_\_ Bank \_\_\_\_\_ Branch \_\_\_\_\_  
towards \_\_\_\_\_ Scheme for a period of \_\_\_\_\_ months at \_\_\_\_\_ % interest per annum.  
Reference No. \_\_\_\_\_

For BAJAJ FINANCE LTD

\*This Provisional Receipt is valid only till the issuance of the Fixed Deposit Receipt

Bajaj Finance Ltd

Registered Address: Old Mumbai-Pune Road, Akurdi, Pune - 411035.  
Corporate Office: 4th Floor, Bajaj Finserv Corporate Office, Off Pune Ahmednagar Road, Viman Nagar, Pune - 411014.  
Phone: 8698 01 01 01 | Email: [wecare@bajajfinserv.in](mailto:wecare@bajajfinserv.in) | CIN: L65910MH1987PLC042961

Application Form No.:

FATCA/CRS Details for non-Individual Applicants (mandatory)

Name of the entity

Type of address given at KYC: Residential or Business Residential Business Registered Office

Note: "Address of tax residence would be taken as available in KRA (KYC Registration Agency) database. In case of any change, please approach KRA & notify the changes"

PAN Date of Incorporation/Registration/Formation

LEI Number LEI Renewal Date

City of incorporation..... Country of incorporation.....

Contact No. Email ID

Entity Constitution Type: Partnership Firm HUF Society AOP/BOI Trust Liquidator

Limited Liability Partnership Artificial Juridical Person Others specify.....

Please tick the applicable tax resident declaration -

Is "Entity" a tax resident of any country other than India? Yes No

If 'yes', please fill below details for all countries (other than India) in which the entity is a resident for tax purposes as well as Ultimate Beneficiary Ownership (UBO) declaration on the next page

| Country of tax residency | Tax Identification number or functional equivalent | Identification type (TIN or other, please specify)* |
|--------------------------|--|---|
|                          |  |   |
|                          |  |   |
|                          |  |   |

\*If TIN is not available please tick reason A, B or C

Reason A - The country where applicant is liable to pay taxes does not issue Tax Identification number to its residents  
Reason B - No TIN required (Select this only if the authorities of the respective country of tax residence do not require TIN to be collected)  
Reason C - Any other reason

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here.....

FATCA & CRS Declaration

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

In case the Entity Country of Incorporation/Tax residence is US but entity is not specified US person mention entity exemption code  
Entity exemption code are provided below in table which can be enclosed with application form for ease of customer to mention the exemption code same.

| Code | Sub category  | 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)  | G    | A real estate investment trust   |
| B    | The United States or any of its agencies or instrumentalities   | 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 |
| C    | A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities   | I    | A common trust fund as defined in section 584(a)   |
| 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)  | J    | A bank as defined in section 581   |
| 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)   | K    | A broker   |
| 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 | 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  |

PART A [to be filled by Financial Institutions or Direct Reporting Non-Financial Entities (NFEs)]

We are a:  
Financial institution  
OR  
Direct reporting NFE

GIIN (consists of 19 characters)  
GIIN is applied but not yet issued  
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.....

If GIIN not available and If the entity is a financial institution(tick whichever is applicable): Not required to apply for 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 an active NFE | Yes (If yes, please fill UBO declaration in the next section.) No<br>Nature of Business..... |
| 2. | Is the Entity a passive NFE | Yes (If yes, please fill UBO declaration in the next section.) No<br>Nature of Business..... |

**Ultimate Beneficiary Ownership (UBO) declaration (to be filled by a non-individual tax resident of any country other than India)**

Name of the entity .....

Entity Constitution Type: Company ☐ LLP ☐ Cooperative society registered under the Cooperative Societies Act ☐

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s):

|    |  |   |   |
|----|--|---|---|
| 1. | Name of Beneficial owner / Controlling person.....<br>Country of Tax residency.....<br>Tax ID No. - Or functional equivalent for each country..... | Tax ID Type (TIN or Other, please specify).....<br>Beneficial Interest %.....<br>Address type: Residential <input type="checkbox"/> Business <input type="checkbox"/><br>Registered Office <input type="checkbox"/> | Address - Include State, Country, PIN / ZIP Code & Contact Details:<br>.....<br>..... |
| 2. | Name of Beneficial owner / Controlling person.....<br>Country of Tax residency.....<br>Tax ID No. - Or functional equivalent for each country..... | Tax ID Type (TIN or Other, please specify).....<br>Beneficial Interest %.....<br>Address type: Residential <input type="checkbox"/> Business <input type="checkbox"/><br>Registered Office <input type="checkbox"/> | Address - Include State, Country, PIN / ZIP Code & Contact Details:<br>.....<br>..... |
| 3. | Name of Beneficial owner / Controlling person.....<br>Country of Tax residency.....<br>Tax ID No. - Or functional equivalent for each country..... | Tax ID Type (TIN or Other, please specify).....<br>Beneficial Interest %.....<br>Address type: Residential <input type="checkbox"/> Business <input type="checkbox"/><br>Registered Office <input type="checkbox"/> | Address - Include State, Country, PIN / ZIP Code & Contact Details:<br>.....<br>..... |

If passive NFE, please provide below additional details  
(to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India):

|    |  |   |  |
|----|--|---|--|
| 1. | PAN, Passport, Election ID, Govt. ID, Driving Licence, NREGA Job Card, Others.....<br>Country of Tax residency.....<br>Tax ID No. - Or functional equivalent for each country..... | Occupation Type - Service, Business, Others.....<br>Nationality.....<br>Father's Name ..... | Date of birth.....<br>Gender: Male <input type="checkbox"/> Female <input type="checkbox"/> Other <input type="checkbox"/> |
| 2. | PAN, Passport, Election ID, Govt. ID, Driving Licence, NREGA Job Card, Others.....<br>Country of Tax residency.....<br>Tax ID No. - Or functional equivalent for each country..... | Occupation Type - Service, Business, Others.....<br>Nationality.....<br>Father's Name ..... | Date of birth.....<br>Gender: Male <input type="checkbox"/> Female <input type="checkbox"/> Other <input type="checkbox"/> |
| 3. | PAN, Passport, Election ID, Govt. ID, Driving Licence, NREGA Job Card, Others.....<br>Country of Tax residency.....<br>Tax ID No. - Or functional equivalent for each country..... | Occupation Type - Service, Business, Others.....<br>Nationality.....<br>Father's Name ..... | Date of birth.....<br>Gender: Male <input type="checkbox"/> Female <input type="checkbox"/> Other <input type="checkbox"/> |

Certification:

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby 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 hereby accept the same.

**Declaration:**

I/ we understand that my/our purchase from the Company may create legal, tax or other financial/ reporting obligations for me/us under the laws of the country of which I/we hold citizenship or reside in. I/we shall be solely responsible for undertaking and fulfilling any obligations that I/we may have under the laws of such country/ies and shall not hold the Company liable under any circumstance in the event of a default on my/our part in fulfilling the said obligations. I/ We agree that, as may be required by domestic regulators/ tax authorities the Company may also be required to report, reportable details to CBDT or close or suspend my/ our applications/ contracts.

Signature of  
first authorized signatorySignature of  
second authorized signatorySignature of  
third authorized signatory

Date: 

|   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Deposit ID (for existing customers) \_\_\_\_\_ Customer ID (for existing customers) \_\_\_\_\_

[illegible][illegible]

I / We the undersigned hereby declare that our company/ holding company is listed on \_\_\_\_\_ Stock Exchange.

Name of the Holding Company, M/s \_\_\_\_\_

In case of Any Entity other than a Listed Company, Section – I, and if applicable, Section – II to be ticked and filled in.

I / We, the undersigned, hereby declare that following persons own Controlling Ownership Interest of more than 10% in case of Company, 10 % or more in case of Trust, more than 10% in case of Partnership Firm and more than 15% in case of Unincorporated Association or Body of Individuals. (Refer Notes - A)

Please use additional sheet in case of more information to disclose

Applicable only if there is / are non-individual shareholder(s) / partners etc. having controlling ownership interest in excess of the prescribed threshold as declared in **Section - I (i)**

Following persons(s), have controlling ownership interest in Beneficial Owner of the Entity as declared in **Section – I (i)** above.

Please use additional sheet in case of more information to disclose

## Section – II

Applicable, if no person has controlling ownership in excess of the prescribed threshold as declared in **Section – I.**

Please provide the details of natural person(s) holding the position of Directors/ Senior Management in the entity (e.g., Directors/ Partners/ Trustees/ etc.) details in Section I (ii).

☐ I / We declare that no person / entity holds controlling ownership in the captioned company in excess of the threshold limit prescribed below.

Authorised Signatory (ies) (i) \_\_\_\_\_

Signature \_\_\_\_\_

Authorised Signatory (ies) (ii) \_\_\_\_\_

Signature \_\_\_\_\_

Authorised Signatory (ies) (ii) \_\_\_\_\_

Signature \_\_\_\_\_

(Refer note D for Signature requirement)

**A. As per the Prevention of Money laundering (Maintenance of Records) Rules, 2005,**

The beneficial owner for the purpose of sub-rule (1) shall be determined as under –

- (a) Where the client is a **Company**, the beneficial owner is the **natural person(s)**, who, whether acting alone or together, or through one or more juridical person, has a **controlling ownership interest** or who **exercises control through other means**. Explanation - For the purpose of this sub-clause-
  - i. **"Controlling ownership interest"** means **ownership of or entitlement to more than 10% of shares or capital or profits** of the company;
  - ii. **"Control"** shall include the **right to appoint majority of the directors or to control the management or policy decisions** including by virtue of their shareholding or management rights or shareholders' agreements or voting agreements;
- (b) Where the client is a **Partnership firm**, the beneficial owner is the **natural person(s)**, who, whether acting alone or together, or through one or more juridical person, has **ownership of / entitlement to more than 10% of capital or profits** of the partnership;
- (c) Where the client is an **Unincorporated Association or Body of Individuals**, the beneficial owner is the **natural person(s)**, who, whether acting alone or together, or through one or more juridical person, has **ownership of or entitlement to more than 15% of the property or capital or profits** of such association or body of individuals;
- (d) Where no natural person is identified under (a) or (b) or (c) above, the beneficial owner is the **relevant natural person who holds the position of senior managing official**;
- (e) Where the client is a **Trust**, the identification of beneficial owner(s) shall include **identification of the author of the trust, the trustee, the beneficiaries with ten percent or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership**; and
- (f) Where the customer or the owner of the controlling interest is a Company listed on a stock exchange in India, or is a subsidiary of such a company, or is an entity resident in jurisdictions notified by the Central Government and listed on stock exchanges in such jurisdictions, it is NOT necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.

**B. Beneficial Ownership Declaration is NOT required in following cases:**

Individual accounts, Sole Proprietorship accounts, HUF, Government Departments, Public Sector Undertaking, Local Government Bodies (Municipal Corporation, Gram Panchayats etc.), Company listed on a recognized stock exchange. An entity resident in jurisdictions notified by the Central Government and listed on stock exchanges in such jurisdictions Majority owned subsidiary of a Company listed on a recognized stock exchange.

**C. Beneficial Ownership Declaration to provide details of following**

|   |   |
|---|---|
| Partnership Firm / LLP: natural persons / partners,   | Club: Members / Authorised Signatories / Beneficiary  |
| Trust: Trustees / Settlor / Protector / Beneficiary   | Association of Persons: Members / Auth. Signatories / Beneficiary                                   |
| Foundation: Founder managers/Directors / Beneficiary  | Pvt. Ltd companies and Unlisted Public Ltd Companies: Shareholder / Directors / Other Beneficiaries |
| Society: Members/Authorised Signatories / Beneficiary | In case of Foreign Entity: Shareholder/Director/Other Beneficiaries                                 |

**D. Signature on Declaration form**

| Sr. No. | Type of Entity  | Signatory (ies) for Signing BO Declaration   |
|---------|---|--|
| i       | Partnership Firm / LLP / Trust / Foundation / Society / Club    | Authorised Signatories should sign as per the Mode of Operations                           |
| ii      | Association   | All Authorised Signatories should sign   |
| iii     | Unlisted Public Limited Companies and Private Limited Companies | Any two Directors or Company Secretary or Authorised Signatories as per Mode of Operations |
| iv      | Foreign Entity  | All Authorized Signatories should sign   |

**E. KYC Documents of Beneficial Owners** should be submitted as per the OVD under PMLA and RBI Guidelines.

- (1) One recent Photograph
- (2) PAN or Form 60 if PAN is not allotted
- (3) Certified Copy \* of one of the Officially Valid Documents (OVDs) listed below:

| Sr. No. | Proof of Identity (PoI)  | Proof of Address (PoA)   |
|---------|--|--|
| i       | Valid Passport   | Valid Passport   |
| ii      | Valid Driving License  | Valid Driving License  |
| iii     | Voter's Identity Card issued by Election Commission of India   | Voter's Identity Card issued by Election Commission of India   |
| iv      | Proof of possession of Aadhaar Number (i.e. Aadhaar letter downloaded from UIDAI website, Aadhaar card) ** | Proof of possession of Aadhaar Number (i.e. Aadhaar letter downloaded from UIDAI website, Aadhaar card) ** |
| v       | Job Card issued by NREGA duly signed by an officer of the State Government                                 | Job Card issued by NREGA duly signed by an officer of the State Government                                 |
| vi      | -  | Letter issued by the National Population Register containing details of Name, Address of the customer      |

\* Obtaining a Certified Copy by Reporting Entity (this includes our Company) means comparing the copy of Officially Valid Document (OVD) so produced by the client (i.e. customer) with its Original and recording the same on the copy by the authorised officer of the Reporting Entity"

\*\* To Ensure that the Aadhaar No. (on copy of Aadhaar Letter/Aadhaar Card obtained), must be redacted or blackened and it is not legible and the Aadhaar No. should not be entered/stored in any system.

## Beneficial Owner - Know Your Customer (KYC) and FATCA/CRS Form

### Personal Details

☐ Mr. ☐ Ms. ☐ Mrs.

### Name of applicant

\_\_\_\_ F I R S T \_\_\_\_\_ M I D D L E \_\_\_\_\_ L A S T \_\_\_\_\_

### Date Of Birth

DDMMYYYY

### Mobile

\_\_\_\_

### Customer Id

\_\_\_\_

### Customer Category

☐ Relative of Director ☐ Director or Promoter of BFL ☐ Shareholder ☐ Politically Exposed Person (PEP) ☐ Relative of PEP

### Gender

☐ Male ☐ Female ☐ Third Gender / Others **Marital Status** ☐ Married ☐ Unmarried ☐ Others

### Email ID

\_\_\_\_

### PAN

\_\_\_\_ **GSTIN** \_\_\_\_\_

### Annual income

☐ Up to Rs. 15 Lakhs ☐ Rs. 15 Lakhs – Rs.50 Lakhs ☐ above Rs.50 Lakhs

### Occupation

☐ Self-employed/Business ☐ Private sector Job ☐ Public Sector Job ☐ Govt. Job

☐ Retired ☐ Professional ☐ Housewife ☐ Student ☐ Others

### Family Details

☐ Father ☐ Mother ☐ Spouse

### Name

\_\_\_\_ F I R S T \_\_\_\_\_ M I D D L E \_\_\_\_\_ L A S T \_\_\_\_\_

Recent Coloured  
Photograph

Please do not staple

### Officially Valid Document

### Deemed to be OVDs\*\*

| Proof of Identity (Pol)  | Proof of Address (PoA)  | Pol/ PoA No.                              | Expiry Date                                     | Documents  |
|--|---|---|---|--|
| <input type="checkbox"/> Aadhaar*<br><input type="checkbox"/> Valid Passport<br><input type="checkbox"/> Valid Driving Licence<br><input type="checkbox"/> Voter ID Card<br><input type="checkbox"/> NREGA Job Card<br><small>*First 8 digits of Aadhaar No. must be blackened/redacted before submission to BFL</small> | <input type="checkbox"/> Aadhaar*<br><input type="checkbox"/> Valid Passport<br><input type="checkbox"/> Valid Driving Licence<br><input type="checkbox"/> Voter ID Card<br><input type="checkbox"/> Letter issued by National Population Register<br><input type="checkbox"/> NREGA Job Card | *****<br>_____<br>_____<br>_____<br>***** | *****<br>DDMMYYYY<br>DDMMYYYY<br>*****<br>***** | <input type="checkbox"/> Utility bill (not more than <b>two months</b> old)<br><input type="checkbox"/> Property/Municipal tax receipt<br><input type="checkbox"/> Pension or Family Pension Payment Orders (PPOs)<br><input type="checkbox"/> Letter of allotment of accommodation from employer issued by SG/CG, Statutory/Regulatory bodies, PSU, SCB, FIs & Listed Co. and LL agreement with such employers allotting official accommodation |

### FATCA (to be filled only if BO is NRI/OCI/PIO/Foreign National)

**Nationality** \_\_\_\_\_ **Country of Foreign Residence** \_\_\_\_\_

**Passport No** \_\_\_\_\_ **Passport Place of Issue** \_\_\_\_\_

**Passport Expiry Date** DDMMYYYY **Place of Issue** \_\_\_\_\_

**Visa Type** \_\_\_\_\_ **Visa Issue Date** DDMMYYYY

**Visa Permit No** \_\_\_\_\_ **Visa Permit** \_\_\_\_\_

**City of Birth** \_\_\_\_\_ **Country of Birth** \_\_\_\_\_

**Current Residency** \_\_\_\_\_ **Current of Citizenship** \_\_\_\_\_

**US Person** ☐ No ☐ Yes, I am a US citizen ☐ Yes, I am a green card holder

**Are you tax resident in any other country outside India** ☐ No ☐ Yes

If yes, country of Tax Residence \_\_\_\_\_ Tax identification No (TIN) or functional equivalent \_\_\_\_\_

**Type of Tax Identification** ☐ TIN ☐ SSN ☐ Passport ☐ Others

### Permanent Address Details

\_\_\_\_\_

\_\_\_\_\_

Area/Locality \_\_\_\_\_ Landmark \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Pin \_\_\_\_\_

Address Proof \_\_\_\_\_ Document No \_\_\_\_\_

Document Expiry Date DDMMYYYY ☐ Is Preferred Communication Address

☐ Is Residence Address same as Permanent Address?

### Current Address Details

\_\_\_\_\_

\_\_\_\_\_

Area/Locality \_\_\_\_\_ Landmark \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Pin \_\_\_\_\_

Address Proof \_\_\_\_\_ Document No \_\_\_\_\_

Document Expiry Date DDMMYYYY ☐ Is Preferred Communication Address

Signature of authorised signatory/  
Beneficial owner





