

Date:

<Name and Address of DDP>

Kind Attention: DDP Division

**Sub: Submission of Legal Entity & Beneficial Owners / Senior Management Official details in line with Securities and Exchange Board of India (SEBI) email advisory dated 03 February 2023 (“SEBI’s advisory”) and Prevention of Money Laundering (PML) Amendment Rules dated 07 March 2023 (“PML Rules”).**

**1. LEGAL ENTITY DETAILS <Please select any one as applicable>**

Pursuant to the above, we understand that, the clients of reporting entities (i.e. the DDPs/Custodians) shall be natural persons or legal entities. Accordingly, we, <name of the legal entity>, an entity incorporated / established under a **corporate / trust / partnership / association of persons** <strike off which is not applicable> structure are the legal entity and hereby confirm that we are –

A.  duly registered as an FPI <<FPI Registration No.>> in India with no underlying sub-fund / fund / branch registered as FPIs.

**OR**

B.  duly registered as an FPI <<FPI Registration No.>> in India and have obtained multiple FPI registration(s) mentioning name of the branch/ fund/ sub-fund for each such registration as provided in below table.

**OR**

C.  not registered as an FPI and have obtained multiple FPI registration(s) mentioning name of the branch/fund/ sub-fund etc. for each such registration as provided in below table. We request you to kindly consider the enclosed KYC form (refer **Annexure A**) and supporting documents for the purpose of your KYC.

No.	Name of FPI(s)	Registration No.	Public Retail Fund? (Yes / No)	FPI Category

**2. BENEFICIAL OWNER (BO) / SENIOR MANAGEMENT OFFICIAL (SMO) DETAILS <Please select any one as applicable>**

A.  We would like to submit that the details of the BO(s) / SMO(s) for the above mentioned FPI(s) are already in line with SEBI’s advisory and PML Rules. There is no change in the details already submitted.

**OR**

B.  In line with SEBI’s advisory and PML Rules, please refer revised the BO(s) / SMO(s) details for ourselves and / or each of the above mentioned FPIs in the separate Annexure (refer **Annexure B**) for your kind consideration.

**3. GROUPING DETAILS <Please select any one as applicable>**

A.  We have assessed the changes in the beneficial ownership of the FPI and confirm that there is no change to our existing investor group information owing updated information submitted via this letter in line with SEBI advisory along with extant regulatory guidelines.

Initials: \_\_\_\_\_

**OR**

- B.  We have assessed the changes in the beneficial ownership of the FPI and confirm that there is a change to our existing investor group information and we enclose (refer **Annexure C**) herewith the revised investor grouping details in line with SEBI's advisory and extant regulatory guidelines. We request you to take the same on your records.

For: \_\_\_\_\_ *<Name of the legal entity>*

\_\_\_\_\_  
Authorized Signatory  
*<Name of the Signatory>*

Initials: \_\_\_\_\_

**ANNEXURE A**  
**KYC INFORMATION FORM FOR LEGAL ENTITY**

1) Name of the Entity [Full expanded name to be mentioned as appearing in proof of identity/ address documents: initials are not permitted. *[Kindly provide the certificate of incorporation and constitutional document]*

<b>Entity Name</b>	
--------------------	--

**2) Type of Entity**

- Corporate     Partnership     Trust     Association of Persons     Body of Individuals  
 Others \_\_\_\_\_

**3) Date of Birth/Incorporation/Agreement/ Formation of body of Individuals or Association of Persons/ Establishment (DD/MM/YYYY)**

Particulars	Date
a) Date of Incorporation/Agreement/ Partnership or Trust Deed/Establishment/ Formation of Body of Individuals or Association of Persons	
b) Date of Commencement of Business	

**4) Place and Country of Birth/ Incorporation/ Establishment/ Formation**

Place: \_\_\_\_\_ Country: \_\_\_\_\_

**5) Legal Entity Identifier & Tax Residency Certificate details**

Particulars	Details
a) Legal Entity Identifier (LEI)	
b) Registration / Incorporation Number	
c) Tax Residency Certificate (TRC) No.	
d) Country of Tax Residency	

**6) Address & Communication Details *(Kindly provide the address proof)***

a) Registered /Residence Address			
Address Line 1			
Address Line 2			
State / City			
Zip Code		Country Name	
<b>b) Office Address</b>	<input type="checkbox"/> Same as Above		
Address Line 1			
Address Line 2			
State / City			
Zip Code		Country Name	

**c) Address of Communication/Correspondence**                       Registered/Residence     Office Address

**d) Contact Details:**

Particulars	Registered/Residence	Office
1. Telephone Number: (Include Country / State Code)		
2. Mobile Number:		
3. Email ID:		
4. Website:		

**7) Income details**

a) Gross Annual Income (in INR):	
b) Net worth (Asset less liabilities) (in INR):	as on: (DD/MM/YYYY)

**8) Occupation Details:**

For Individuals	For Non – Individuals
-----------------	-----------------------

**9) Whether the entity or the entity's authorized signatories/ Promoters/ Partners/ Trustees/ Whole Time Directors/Office bearer is**

- a) A politically exposed person  Yes  No  
b) Related to a politically exposed person  Yes  No

**10) Disciplinary History**

Whether there has been any instance of violation or non-adherence to the securities laws, code of ethics/conduct, code of business rules, for which the entity or its parent/holding company or associate/or promoter/investment manager may have been subjected to criminal liability or suspended from carrying out its operations or the registration, has been revoked, temporarily or permanently or any regulatory actions that have resulted in temporary or permanent suspension of investment related operations in the entity's home jurisdiction and has a bearing on obtaining FPI registration for investing in India?

- Yes  No

(If yes, please mention details briefly in below box. For more details, enclose Annexure)

--

**11) Information in respect of authorized signatories / senior management of the Legal Entity (Kindly provide the list and specimen signatures of the authorized signatories).**

Sr. No.	Name	Relationship with applicant (i.e., directors, authorized signatory etc.)	PAN (if applicable)	Nationality	Date of Birth (DD/MM/YYYY)	Residential/ Registered Address	Any government issued identity document number (example driving license)
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

## 12) INFORMATION REGARDING ULTIMATE BENEFICIAL OWNER<sup>1</sup> OF LEGAL ENTITY

### A. Details on the basis of ownership or entitlement:

We declare that there is no material shareholder/owner entity (including Intermediate shareholder<sup>4</sup>) or individual holding<sup>2</sup> >= \_\_\_% of ownership/ entitlement through shares/units, economic benefit participation etc. including direct / indirect holding held through single or multiple entities

OR

Details of entities holding<sup>2</sup> > \_\_\_ of ownership/ entitlement through shares/units, economic benefit participation etc. including cumulative direct / indirect holding held through single or multiple entities are provided as under:

**Table 1:**

Name of Beneficial owner	Direct / Indirect Stake	Names of the entity(ies) through which the stake in the FPI is held indirectly	Country of Incorporation / Nationality	Percentage stake held in the applicant	Individual /Non-Individual

**Based on above details, please provide the details of the natural person identified (if any) in below Table 3**

### B. Details of Beneficial Ownership (BO) by Control:

We declare that there is no material shareholder/owner entity (including at intermediate level<sup>4</sup>) or individual who ultimately control<sup>3</sup> through means like voting rights, agreements, arrangements, etc. Accordingly, we undertake that, in the event of any queries being raised by the regulators/competent authorities, with respect to the BO details we shall forthwith provide necessary responses/clarifications

OR

Details of Beneficial Ownership by Control<sup>3</sup> is provided as under:

**Table 2:**

Name of Beneficial owner	Method of Control (Give Details including names of the intermediate structures, if any, through which control is exercised)	Country of Incorporation / Nationality	Percentage control on the applicant, if applicable	Individual/N on-Individual
	<i>e.g. Management shares / Ownership control in the investment vehicle/entity, Promoter / Sponsor</i>			
	<i>e.g. Majority Voting Right in the applicant legal entity and/or powers to appoint majority of Directors</i>			
	<i>e.g. Control over management or policy decisions including by virtue of their shareholding or management rights or shareholders agreements or voting agreements</i>			

**Based on above details, please provide the details of the natural person identified (if any) in below Table 3**

### C. Details where beneficial ownership is not identified basis of ownership or entitlement or control

There is no natural person identified as Beneficial Owner in the FPI using either the Materiality Threshold for controlling ownership interest or on control basis. We therefore provide details of the senior managing official(s)<sup>5</sup> in **Table 3** below

OR

The list of beneficial owners as per materiality threshold for controlling ownership interest and / or on control basis is provided in **Table 3** below

**Table 3:**

Sl. No.	Name, Designation & Address of the Beneficial Owner (Natural Person)	Legal Entity Name of the Senior Managing Official	Date of Birth	Tax Residency Jurisdiction	Nationality	Whether acting alone or together through one or more natural persons as group, with their name & address	BO Group's percentage Shareholding / Capital / Profit ownership in the FPIs	Tax Residency Number/ Social Security Number/ Passport Number of BO/ any other Government issued identity document number (example driving license) (Please provide any) #
	Name: Designation: Address:							
	Name: Designation: Address:							
	Name: Designation: Address:							

Does the above table have few persons of the same family holding beneficial ownership and control?

Yes  No

We certify that there are no other BOs in the FPI other than those referred in the above list.

### 13) DECLARATION & UNDERTAKING

I/We \_\_\_\_\_, do hereby declare that what is stated in the aforesaid application form (including the enclosed documents/annexures) is complete and true to the best of my/our information and belief. I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. I/We have read and understood the Securities and Exchange Board of India (Foreign Portfolio Investors) Regulations, 2019, circulars issued thereunder, its operating guidelines, reply to frequently asked questions on FPI regime provided by SEBI and shall abide with any other terms and conditions specified by SEBI from time to time.

Place

Date

\_\_\_\_\_  
Authorized Signatory  
Name of the Signatory

#### Notes –

1. *Ultimate beneficial owner shall be as provided under the Master circular on Anti Money Laundering Standards or Combating the Financing of Terrorism, issued by SEBI from time to time. In case of companies/ trusts represented by service providers like lawyers/ accountants, FPIs should provide information of the real owners/ effective controllers of those companies / trusts. It is clarified that BO should not be a nominee of another person and real BO should be identified. No foreign company shall be entitled to exemption under Rule 9(3)(f) of PMLA Rules.*
2. *The materiality threshold for identification of BOs of FPIs on controlling ownership interest (or ownership/ entitlement) basis shall be same as prescribed in PMLA Rules i.e. 10 % in case of company, trust & unincorporated association of persons and 15% in case of partnership firm and 10% for entities from "high risk jurisdictions". If the BO exercises controls through means like voting rights, agreements, arrangement etc., that should also be specified.*

3. *Control includes the right to appoint majority of the directors or to control the management or policy decisions exercisable by a person or persons acting individually or in concert, directly or indirectly, including by virtue of shareholding or management rights or shareholders agreements or voting agreements or in any other manner.*
4. *The materiality threshold to identify the beneficial owner should be first applied at the level of FPI and next look through basis shall be applied to identify the beneficial owner of the intermediate shareholder/ owner entity. Beneficial owner and intermediate shareholder/ owner entity with holdings equal & above the materiality thresholds in the FPI need to be identified through the look through basis. In case the intermediate shareholder/ owner entity is eligible for registration as Category I FPI under Regulation 5(a)(i), there is no need for further identification and verification of beneficial owner of such intermediate shareholder/ owner entity.*
5. *For the purpose of identification of BO of FPIs, the natural person who owns or controls the FPI need to be identified as the BO. In cases where either the ownership or control of the FPI is through a legal arrangement i.e. through legal entities, then the natural person who owns or controls the legal entity at the end of this chain of legal arrangement needs to be identified as the BO of the FPI. In case no natural person is identified as BO on the basis of ownership or control after following the above procedure, the SMO(s) of the legal entity at the end of the chain of the legal arrangement need(s) to be identified as the BO(s) of the FPI.*
6. *In respect of FPIs coming from "high risk jurisdictions" KYC documentation as applicable for category II FPIs need to be collected.*

† Please remove extraneous information