

## Date \_\_\_\_\_

# Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

South Gujarat ARN: 54854

Name of Applicant \_\_\_\_\_

PAN of the Applicant 

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Sr. No.	PAN	Name	DIN (For Directors)/ UID (For others if available)	Residential Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed*	Photograph
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

\*PEP: Politically Exposed Person  
\*RPEP: Related to Politically Exposed Person

Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of  
Know Your Client (KYC) Application Form for Non-Individuals (*contd.*)

Sr. No.	PAN	Name	DIN (For Directors)/ UID (For others if available)	Residential Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed*	Photograph
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorised Signatory(ies)

Date 

D	D	/	M	M	/	Y	Y	Y	Y
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\***PEP:** Politically Exposed Person  
\***RPEP:** Related to Politically Exposed Person

**FATCA AND CRS SELF CERTIFICATION FOR NON-INDIVIDUALS**

[MANDATORY for Non-Individual Investors]

Please turn over for Definitions / Instructions / Guidance



Global Asset Management

South Gujarat ARN: 54854

**APPLICANT DETAILS**

Applicant Name:			
PAN		Application No	
		Folio Nos	

Type of address given at KRA ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office**INCORPORATION and TAX RESIDENCY DETAILS (Mandatory)**

Place of Incorporation:	Country of Incorporation:	Date of Incorporation:
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Is Entity a tax resident of any country other than India? ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below)

	Country of Tax Residency	TIN or equivalent number^	Identification Type (TIN or Other, please specify)
1			
2			
3			
4			

^ In case Tax Identification Number is not available, kindly provide its functional equivalent

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person (as per definition E5), please mention the exemption code in the box (Refer instruction D4):

**FATCA and CRS DETAILS (Mandatory)**

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

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

<b>We are a, (Please ✓ as appropriate :</b> <input type="checkbox"/> Financial Institution (Refer definition A) or <input type="checkbox"/> Direct reporting NFE (Refer definition B)	<b>GIIN</b> <input type="text"/> <b>Note:</b> If you do not have a GIIN (Global Intermediary Identification number) but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below <b>Name of sponsoring entity:</b> <input type="text"/>
<b>GIIN - Not Available</b> If the entity is a financial institution,	<input type="checkbox"/> Applied for <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> <input type="text"/> (refer definition C) <input type="checkbox"/> Not obtained – Non-participating FI

**PART B (please fill Any One as appropriate, to be filled by NFEs other than Direct Reporting NFEs)**

<b>Is the Entity a publicly traded company?</b> (that is, a company whose shares are regularly traded on an established securities market) (Refer definition D1)	<b>Yes</b> <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) <b>Name of stock exchange</b> _____
<b>Is the Entity a related entity of a publicly traded company?</b> (a company whose shares are regularly traded on an established securities market) (Refer definition D2)	<b>Yes</b> <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) <b>Name of listed company</b> _____ <b>Nature of relation:</b> <input type="checkbox"/> Subsidiary of the Listed Company OR <input type="checkbox"/> Controlled by a Listed Company <b>Name of stock exchange</b> _____
<b>Is the Entity an Active NFE?</b> (Refer definition D3)	<b>Yes</b> <input type="checkbox"/> Also provide UBO Form <input type="checkbox"/> <b>Nature of Business</b> _____ <b>Please specify the sub-category of Active NFE</b> <input type="text"/> <input type="text"/> (Mention code - refer D3)
<b>Is the Entity a Passive NFE?</b> (Refer definition E2)	<b>Yes</b> <input type="checkbox"/> Also provide UBO Form <input type="checkbox"/> <b>Nature of Business</b> _____

**DECLARATION & SIGNATURE(S)**

I acknowledge and confirm that the information provided with respect to FATCA / CRS is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I will be responsible for it. I authorize the Fund to update its records from the FATCA / CRS information provided by me and received by the Fund from other SEBI Registered Intermediaries. Further, I authorize the Fund to share the given information provided by me to the Fund with other SEBI Registered Intermediaries to facilitate single submission / updation. I also undertake to keep the Fund informed in writing about any changes / modification / updation to the above information in future and also undertake to provide any other additional information as may be required at the Fund's end and/or by the domestic tax authorities. I authorize the Fund / AMC / RTA to close or suspend my account(s) under intimation to me for non-submission of documentation.	<b>Authorized Signatories</b> [with Company/Trust/Firm/Body Corporate seal]
Date : ____ / ____ / ____ Place : _____	

# Annexure A - Ultimate Beneficial Ownership (UBO) Declaration form

**[MANDATORY]** for Non-Individual Applicants/Investors]

This declaration is NOT needed for Companies that are Listed on any recognized stock exchange in India or is a Subsidiary of such Listed Company or is Controlled by such Listed Company



Global Asset Management

South Gujarat ARN: 54854

A APPLICANT DETAILS:														
Applicant Name										Application No.				
PAN										Folio Nos.				

B CATEGORY [tick (✓) applicable category]:	
<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm <input type="checkbox"/> LLP <input type="checkbox"/> Unincorporated association / body of individuals <input type="checkbox"/> Public Charitable Trust <input type="checkbox"/> Religious Trust <input type="checkbox"/> Private Trust/ Trust created by a Will <input type="checkbox"/> Others [Specify] _____

C DETAILS OF ULTIMATE BENEFICIAL OWNERS (If the given space below is not adequate, please attach multiple declaration forms)												
Please list below each controlling person, confirming ALL countries of tax residency / permanent address / citizenship and ALL Tax Identification Numbers for EACH controlling person. If the given rows are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.												
Type of Beneficial Ownership (control or Benefit directly or indirectly through a chain of controls or ownerships)												
> 25% control of company												
> 15% control of Partnership / LLP / Trust / AoP / Bol												
If there is no UBO, please declare that there is no holding beneficial interest - striking off the below table and provide signatures under the declaration & signature section.												
Sr. No	Name of UBO [Mandatory]	Country of Tax Residency	PAN / Taxpayer Identification Number / Equivalent ID Number	Document Type	% of beneficial interest (Enclose appropriate proof)	Place & Country of Birth / Incorporation	Date of Birth / Incorporation [dd- mm- yyyy]	Address, Address Type* & Contact details [include City, Pin code, State, Country]	Gender [Male, Female, others]	Father's Name	Nationality	Occupation
Mandatory, if PAN not provided												
1.												<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others
2.												<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others
3.												<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others
4.												<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others
5.												<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others
* Address Type should either Residence or Business or Registered Office												

I / We acknowledge and confirm that the information provided above is / are true and correct to the best of my / our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I / We aware that I / We may liable for it. I/ We hereby authorize you to update your records from the above information received by the Fund or from other SEBI Registered Intermediaries. Further, I authorize you to share the beneficial owner information (in this form) provided by me to the Fund with other SEBI Registered Intermediaries to facilitate single submission / updation. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or redeem / reverse the allotment of units, if subsequently it is found that applicant has concealed the facts of beneficial ownership. I / We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Date _____	Authorized Signatory 1	Authorized Signatory 2	Authorized Signatory 3
Place _____			

<b>Name</b>	Mr Ms M/s																											
<b>Date of Birth</b>	D	D	M	M	Y	Y	Y	Y	<b>KYC Identification No. (KIN) ±±</b>																			
<b>Aadhaar No.**</b>																			Where Aadhaar number has not been assigned : Please enclose - Proof of application of enrollment of Aadhaar									
<b>PAN**</b>																			Proof to be enclosed (✓) PAN card Copy									
<b>Nationality</b>																			<b>Country of Residence</b>									
<b>KYC details</b>																												
<b>Occupation Details :</b> <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Business [Nature of Business] _____ <input type="checkbox"/> Doctor <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Casino Owner <input type="checkbox"/> Arms manufacturer <input type="checkbox"/> Gambling services offerer <input type="checkbox"/> Money lender <input type="checkbox"/> Pawn Broker <input type="checkbox"/> Others [Please specify] _____																												
<b>Gross Annual Income :</b> <input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lacs <input type="checkbox"/> ₹ 5-10 Lacs <input type="checkbox"/> ₹ 10-25 Lacs <input type="checkbox"/> ₹ 25 Lacs - ₹ 1 Crore <input type="checkbox"/> > ₹ 1 Crore																												
<b>OR Net-worth in Rupees</b> (Mandatory for Non-Individuals)    ₹ Net-worth should not be older than 1 year    as on (date) D D M M Y Y Y Y																												
<b>Others</b> (please ✓) : <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable																												

### 3 THIRD APPLICANT'S INFORMATION (Please tick (✓) wherever applicable)

<b>Name</b>	<div style="display: flex; justify-content: space-between;"> <span>Mr Ms M/s</span> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> </div>																										
<b>Date of Birth</b>	<div style="display: flex; justify-content: space-between;"> <span>D D M M Y Y Y Y</span> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> </div>										<b>KYC Identification No. (KIN) ++</b> <div style="display: flex; justify-content: space-between;"> <span></span> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> </div>																
<b>Aadhaar No.**</b>	<div style="display: flex; justify-content: space-between;"> <span></span> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> </div>										Where Aadhaar number has not been assigned : Please enclose - Proof of application of enrollment of Aadhaar																
<b>PAN**</b>	<div style="display: flex; justify-content: space-between;"> <span></span> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> </div>										Proof to be enclosed (✓)    PAN card Copy																
<b>Nationality</b>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>										<b>Country of Residence</b> <div style="border: 1px solid black; width: 100%; height: 20px;"></div>																

#### 4 PoA HOLDER DETAILS (If the investment is being made by a Constituted Attorney please furnish details of PoA holder)

Name	Mr Ms M/s																											
Date of Birth	D D M M Y Y Y Y								KYC Identification No. (KIN) ++																			
Aadhaar No.**									Where Aadhaar number has not been assigned : Please enclose - Proof of application of enrollment of Aadhaar																			
PAN**									Proof to be enclosed (✓) PAN card Copy																			
Nationality									Country of Residence																			
KYC details																												
<b>4a. Occupation Details :</b> <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Business [Nature of Business] <input type="checkbox"/> Doctor <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Casino Owner <input type="checkbox"/> Arms manufacturer <input type="checkbox"/> Gambling services offerer <input type="checkbox"/> Money lender <input type="checkbox"/> Pawn Broker <input type="checkbox"/> Others [Please specify]																												
<b>4b. Gross Annual Income :</b> <input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lacs <input type="checkbox"/> ₹ 5-10 Lacs <input type="checkbox"/> ₹ 10-25 Lacs <input type="checkbox"/> ₹ 25 Lacs - ₹ 1 Crore <input type="checkbox"/> > ₹ 1 Crore																												
<b>OR Net-worth in Rupees (Mandatory for Non-Individuals)</b> ₹ Net-worth should not be older than 1 year as on (date)         D D M M Y Y Y Y																												
<b>4c. Others (please ✓) :</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable																												

## 5 DECLARATIONS AND SIGNATURES (In case of joint holding, signatures of all unit holders are mandatory)

## CONSENT FOR UPDATION AND VALIDATION OF AADHAAR

I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

I/We hereby provide my/our consent for sharing/disclosed of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios.

## OTHER DECLARATIONS

Having read and understood the contents of the Scheme Information Document, Key Information Document, Statement of Additional Information and Addenda of the Scheme(s) issued till date, I / We hereby apply to the Trustees of HSBC Mutual Fund for units of the relevant Scheme and agree to abide by the terms, conditions, rules and regulations of the Scheme and the above mentioned documents of HSBC Mutual Fund. I / We hereby authorise HSBC Mutual Fund, the AMC and its Agents to disclose my / our details including investment details to my / our bank(s) / HSBC Mutual Fund's Bank(s) and / or Distributor / Broker / Investment Advisor and to verify my / our bank details provided by me / us, or to disclose to such other service providers as deemed necessary for conduct of business.

I / We confirm that the details provided by me / us are true and correct.

Sole / First Applicant / Guardian / PoA		Second Applicant / PoA		Third Applicant / PoA	
Date					

‡‡ W.e.f February 1, 2017, New individual investors who have never done KYC under KRA (KYC Registration Agency) regime and whose KYC is not registered or verified in the KRA system will be required to fill the new CKYC form while investing with the Fund.

\*\*\* As per the amendments to the Prevention of Money Laundering (Maintenance of Records) Rules, 2005 dated 1st June 2017, all unit holders including Joint Holders, Guardian and Power of Attorney Holders are required to submit their Aadhaar number or proof of Aadhaar application issued by the Unique Identification Authority of India and Permanent Account Number (PAN) to us. Non-individual investors have to submit the Aadhaar and PAN of the authorized signatory/ies.

1) For MF accounts opened prior to June 1, 2017 - before 31st December 2017. 2) For MF accounts opened on/after June 1, 2017 - before 31st December 2017.

3) For accounts opened on/after January 1, 2018 - Aadhaar and PAN are mandatory, without which the account will not be opened.

Please note that if Aadhaar seeding and PAN updation is not completed for mutual fund investments by 31 December 2017, then these investment accounts will become inoperative until the time that these are duly updated in Fund records.