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JM FINANCIAL

PART 2 KNOW YOUR CLIENT (KYC) FORM

The Application Form should be completed in English and in BLOCK LETTERS only.

1. UNIT HOLDER INFORMATION

. Existing Unit Holder Information (If you have existing folio, please fll in section 1 and proceed to section 3)										
Folio No	The details in our records under the folio number me	ntioned alongside will apply for this application.								
b. Name Of First / Sole Applicant										
Mr. Ms. M/s.										
Application Form No.										
2a. Status of Sole/1st appicant		2b. Occupation Details (please tick ✓)								
1. Resident Individual (RI) 5. AOP/BOI	10. Society 15. NRI	1. Private sector service 5. Housewife								
2. On behalf of minor RI 6. Partnership Firm	11. 🗌 FIIs 16. 🗌 PIO &	2. Public Sector / Govt. 6. Retired service 7 Student								
	12. Government Body 17. Others ^{&} (pl.specify)	service 7. Student 3. Professional 8. Agriculturist								
3. HUF 8. Body Corporate Listed Unlisted	13. Financial Institution	4. Business 9 Others (pl. specify)								
4. Company 9. Trust	14. Banks									
2c. Gross Annual Income (Please tick ✓)	2d. For Individuals / HUFs (Please tick \checkmark)^	2e. For Non-Individuals (Companies, Trust, Partnership etc.) (Please tick ✓)^								
Below 1 Lac 1 - 5 Lacs 5 - 10 Lacs	I am Politically Exposed Person	Foreign Exchange / Money Changer Services								
10 - 25 Lacs 25 Lacs - 1Crore 25 Lacs - 1Crore 100	I am related to Politically Exposed Person	Gamin / Gambling / Lottery / Casino Services								
	Not Applicable	Money Lending / Pawning								
Net Worth in (Mandatory for Non-Individuals) ₹ as on// (Not older than 1 year)		Not Applicable								
* US and Canada Investors not permitted. \land If not ticked it will be considered as Not A	Applicable.									

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I 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 aware that I may be held liable for it.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant

INSTRUCTIONS

In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/networth and Politically Exposed Person (PEP)* status mentioned under section 2 which was forming part of uniform KYC form may be captured in the application form of the Fund.

The said details are mandatory for both Individual and Non Individual applicants. *PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

Detai South	ils of Promoters/ Partners/ Guiarat ARN: 54854	/ Karta / Trustees and whole tim	ne directors form	Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals South Guiarat ARN: 54854	(KYC) Application F	orm for Non-Individuals
Name of	Name of Applicant				PAN of the Applicant	PAN of the Applicant
Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph
Name &	Name & Signature of the Authorised Signatory(ies)	Vies) Date [d d] / [m m] / [y y y	v v GVI	Place for Intermediary Logo		

	JM FINANCIAL	Details o For	of FAT							atio	n			
Sou	uth Gujarat ARN: 54854													
Nar	ne of the entity					ΤΙ			Τ					
Тур	e of address given at KRA	Residential or Bu	siness 🗸	Reside	ential	11	Bu	siness	V	} F	Regist	ered Of	ffice	
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1.	Is the Entity a publicly traded co whose shares are regularly traded o securities market)		Yes 🗹 (#) Name of stoc	res, please spe k exchange		e stock e	ixchange (on which	the stock	is regularly	/ traded,			
2.	Is the Entity a related entity of a (a company whose shares are regul established securities market)		Yes Name of lister Nature of rel Name of stoc	ation:	Subsid		ed compan	8. XONI 661 198			4	stock is reg Listed Co		
3.	Is the Entity an active' non-finar	ncial Entity (NFE) No 🗸	Yes Nature of Bus Please spe	and all	ub-cate	egory	of Act	tive NF	E	(M rel	ention (er 2c ol	code – f Part D)		
4.	Is the Entity a <i>passive</i> ² NFE	No 🖌	Yes 🗹 (# Nature of Bus	'yes, please fill (iness	UBO declara	ation in the	next secti	ion.)						
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* FATCA declaration and details for entities

(Mandatory for Non-Individual Applicants/Investors) Please refer annexure for definitions (Please seek advice from a tax professional on any FATCA aspects)

South Gujarat ARN: 54854

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Declaration:

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after consulting necessary tax professionals. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/ us to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / associated parties / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India and other investigation agencies without any obligation of advising me/us of the same. Further, I/We, authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. 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 / documentary proof as may be required at your end

Date :		Place :
		Sign Here
	Nar	nes and Signature(s) of Authorized Signatory(ies) with Official Stamp

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UBO-3	Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person[Investor], where the juridical person is an unincorporated association or body of individuals	UBO-4	other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under clause 4 (a) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
UBO-5	Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]	UBO-6	The settlor(s) of the trust
UBO-7	Trustee(s) of the Trust	UBO-8	The Protector(s) of the Trust [if applicable].
UBO-9	The beneficiaries with 15% or more interest in the trust if they are natural person(s)	UBO-10	Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership

Declaration

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 sharing of the information furnished in this form with all SEBI Registered Intermediaries and they can rely on the same. 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 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.

Authorized Signatory(ies) [with Company/Trust/Firm/Body Corporate seal]

/

Date : ____ / _____

Place :

Ultimate Beneficial Ownership (UBO)

BACKGROUND

Pursuant to SEBI master circular vide ref. no. CIR/ISD/AML/3/2010 dated December 31, 2010 on anti money laundering standards and guidelines on identification of Beneficial Ownership issued by SEBI vide its circular ref. no. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) ("UBO(s)") and submit proof of identity (viz. PAN with photograph or any other acceptable proof of identity prescribed in common KYC form) of UBO(s). The Ultimate Beneficial Owner means:

For Investor other than Trust:

A 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of / entitlements to:

i. more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;

ii. more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or

iii. more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

In cases where there exists doubt as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity details should be provided of the natural person who is exercising control over the juridical person through other means (i.e. control exercised through voting rights, agreement, arrangements or in any other manner). However, where no natural person is identified, the identity of the relevant natural person who holds the position of senior managing official should be provided.

For Trust:

The settler of the trust, the trustees, the protector, the beneficiaries with 15% or more of interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Exemption in case of listed companies:

The provisions w.r.t. Identification of UBO are not applicable to the investor or the owner of the controlling interest is a company listed on a stock exchange, or is a majorityowned subsidiary of such a company.

Applicability for foreign investors:

The identification of beneficial ownership in case of Foreign Institutional Investors (FIIs), their sub-accounts and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012.

JM FINANCIAL South Gujarat ARN: 54854 JM Financial Mutual Fund Common Aadhaar Linking Form - Non-Individuals									
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list of personnel covers all authorized signatories on behalf our organization. We will let you know the changes / modifications from time to time, if any, through appropriate means to KARVY / participating MFs / other RTAs. Above signatories have consented for sharing the above information with KARVY / participating MFs / other RTAs in corporate & individual capacity and also for validating the same with UIDAI whenever warranted. This information is provided to comply with the PMLA requirements and should not be used for any other purpose unless it is required under any law / regulatory purpose.

For

Company Secretary / Authorized Signatory (ies)