# Declaration for Ultimate Beneficial Ownership (UBO) / Controlling Persons (Mandatory for Non-Individual Investors)

Mulla House, Ground Floor, M. G. Road, Fort, Mumbai - 400 001

TATA mutual fund

## 1. Entity Details

| | |
|---|---|
| Name of the Entity | |
| PAN Number | |

## 2. Applicable for Listed Company / Subsidiary Company

(i) I We Hereby declare that-

☐ Our Company is a Listed Company listed on recogised stock exchange in India ☐ Our Company is a Subsidary of a Listed Company

☐ Our Company is Controlled by a Listed Company

(ii) Details of the Listed Company ^ _____

Stock Exchange on which it is listed _____ Security ISIN _____

^ The Details of holding/parent company to be provided in case the applicant / investor is a subsidary company

## 3. Applicable for Non Individuals other than Listed Company / its Subsidiary Company

**Category** (Please tick applicable category):

☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company

☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust

☐ Others (please specify _____ )

**UBO / Controlling Person(s) details.**

**Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit?** ☐ **Yes** ☐ **No**

If 'YES' - We hereby declare that the following individual person holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.

If 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.

| | **UBO-1 / Senior Managing Official (SMO)** | **UBO-2** | **UBO-3** |
|---|---|---|---|
| Name of the UBO/SMO#. | | | |
| UBO / SMO PAN#. For Foreign National, TIN to be provided] | | | |
| % of beneficial interest#. | >10% controlling interest. ☐<br>>15% controlling interest. ☐<br>>25% controlling interest. ☐<br>NA. (for SMO) ☐ | >10% controlling interest. ☐<br>>15% controlling interest. ☐<br>>25% controlling interest. ☐<br>NA. (for SMO) ☐ | >10% controlling interest. ☐<br>>15% controlling interest. ☐<br>>25% controlling interest. ☐<br>NA. (for SMO) ☐ |
| UBO / SMO Country of Tax Residency#. | | | |
| UBO / SMO Taxpayer Identification Number / Equivalent ID Number#. | | | |
| UBO / SMO Identity Type | | | |
| UBO / SMO Place of Birth# | | | |
| UBO / SMO Country of Birth# | | | |
| UBO / SMO Nationality | | | |
| UBO / SMO Date of Birth *[dd-mmm-yyyy] #* | | | |
| UBO / SMO PEP# | Yes – PEP. ☐<br>Yes – Related to PEP. ☐<br>N – Not a PEP. ☐ | Yes – PEP. ☐<br>Yes – Related to PEP. ☐<br>N – Not a PEP. ☐ | Yes – PEP. ☐<br>Yes – Related to PEP. ☐<br>N – Not a PEP. ☐ |
| UBO / SMO Address *[include City, Pincode, State, Country]* | Address | Address | Address |
| | | | |
| | City | City | City |
| | Pincode | Pincode | Pincode |
| | State | State | State |
| | Country | Country | Country |
| UBO / SMO Address Type | Residence ☐<br>Business ☐<br>Registered Office. ☐ | Residence ☐<br>Business ☐<br>Registered Office. ☐ | Residence ☐<br>Business ☐<br>Registered Office. ☐ |

| | | | |
|---|---|---|---|
| UBO / SMO Email | | | |
| UBO / SMO Mobile | | | |
| UBO / SMO Gender | Male ☐<br>Female ☐<br>Others ☐ | Male ☐<br>Female ☐<br>Others ☐ | Male ☐<br>Female ☐<br>Others ☐ |
| UBO / SMO Father's Name | | | |
| UBO / SMO Occupation | Public Service ☐<br>Private Service ☐<br>Business ☐<br>Others ☐ | Public Service ☐<br>Private Service ☐<br>Business ☐<br>Others ☐ | Public Service ☐<br>Private Service ☐<br>Business ☐<br>Others ☐ |
| SMO Designation# | | | |
| UBO / SMO KYC Complied? | Yes ☐ No. ☐<br>If 'Yes,' please attach the KYC acknowledgement.<br>If 'No,' complete the KYC and confirm the status. | Yes ☐ No. ☐<br>If 'Yes,' please attach the KYC acknowledgement.<br>If No, complete the KYC and confirm the status. | Yes ☐ No. ☐<br>If 'Yes,' please attach the KYC acknowledgement.<br>If No, complete the KYC and confirm the status. |

# Mandatory column. Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

* Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and you may provide the same as and when solicited.

## 4. Declaration and Signatures

I/We acknowledge and confirm that the information provided above is 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, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / 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 wherever it is legally required 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 /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:

| | | |
|---|---|---|
| Authorised Signatory<br>Name:<br>Designation: | Authorised Signatory<br>Name:<br>Designation: | Authorised Signatory<br>Name:<br>Designation: |

Place: _____

Date: D D / M M / Y Y Y Y

**INSTRUCTIONS**

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)). Attached Documents should be self-certified by the UBO and certified by the Applicant/Investor Authorised Signatory/ies.

**(1) 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 10% 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.

iv. 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).

v. 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 10% 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.

**(2) Documents to be provided:**

Provide copy of PAN with photograph or valid KYC Compliance proof or any other acceptable identity proof of UBO as below

i. UID (Adhar)

ii. Passport

iii. Voter ID

iv. Driving Licence

If UBO is not KYC compliant, request to complete KYC formalities and send the intimation to CAMS /Fund. Attach valid address proof.

Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary.

Note: Attached documents should be self-certified by the UBO and certified by the Applicant/Investor Authorized Signatory/ies

**(3)** If the BO is minor proof of date of birth (i.e. birth certificate) and proof of relationship with the guardian and the copy of PAN with photograph of the guardian is mandatory.

**(4) 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 majority-owned subsidiary of such a company.

**(5) 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.

**(6)** In case the 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.

**(7) UBO - Type Codes**

| | |
|---|---|
| **UBO - 01** | Ownership of / entitlement to more than 10% of shares of capital or profits of the juridical person, where the juridical person is a company |
| **UBO - 02** | Ownership of / entitlement to more than 15% of the capital or profits of the juridical person, where the juridical person is a partnerhip |
| **UBO - 03** | Ownership of / entitlement to more than 15% of the property or capital or profits or the juridical person, where the juridical person is an unicorporated association or body of individuals |
| **UBO - 04** | 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. (In case where there exist 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) |
| **UBO - 05** | Person who holds the position of senior managing official like CEO, MD, Managing Partner etc. (In case any Ultimate Beneficial Owner/s does not own over 10% or 15%). |
| **UBO - 06** | The settlor(s) of the Trust |
| **UBO - 07** | Trustee(s) of the Trust. |
| **UBO - 08** | The Protector(s) of the Trust (if applicable). |
| **UBO - 09** | The beneficiaries with 10% 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. |