

# ANNEXURE TO COMMON APPLICATION FORM

## A: Declaration & Undertaking:

- 1) I/ We have read and understood the extant Indian laws, rules, regulations including SEBI (FPI) Regulations, 2019, FEMA Act 1999 and rules & regulations made thereunder, Depository and Depository Participants Regulations, circulars, guidelines issued therein and shall in relation to my/ our activities as FPI, at all times, comply with and subject myself/ ourselves to any other terms and conditions specified by SEBI, RBI, Depository or any other regulators from time to time.
- 2) I/ We undertake to provide additional information/documents (including KYC documents exempted by SEBI and RBI)/ declarations and undertakings as may be required by you/demand from any regulator/law enforcement agency/exchange without delay to ensure compliance with the Prevention of Money Laundering Act, 2002 and rules and regulations prescribed thereunder, FATF standards and circulars issued from time to time by SEBI, RBI or any other regulators in compliance with said requirement.
- 3) I/ We undertake to abide by operational instructions/ directives as may be issued by Securities and Exchange Board of India, Reserve Bank of India or any other authority from time to time under provisions of the Act or any other applicable law.
- 4) I/ We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".
- 5) We authorize custodian to operate the account through Power of Attorney (PoA) and not to receive credits automatically into our account.
- 6) We authorize custodian to send statement of account in electronic form and we will ensure the confidentiality of the password of the email, as applicable
- 7) We authorize custodian to maintain appropriate house account details on depository platforms for the purpose of collection of monetary corporate benefits and any other similar activities on our behalf.
- 8) We refer to the circular issued by Securities and Exchange Board of India (SEBI) bearing reference number SEBI/HO/AFD/AFD-PoD-2/CIR/P/2023/148 dated August 24, 2023 (SEBI Circular) mandating additional disclosures by Foreign Portfolio Investors (FPIs) that fulfil certain objective criteria and the Standard Operating Procedure published in this regard by Designated Depository Participant/Custodians in India in consultation with SEBI (collectively referred to as "FPI Disclosure Norms"). We hereby confirm that we have read and understood the rules and obligations outlined in the FPI Disclosure Norms and acknowledge the consequences of its non-compliance. Furthermore, we hereby agree, confirm and undertake that we shall abide by, inter-alia, the FPI Disclosure Norms.

## B: Additional Information

- 1) Separate registration for the purposes of hedging the ODIs with derivatives as underlying in India?

*(applicable only for Category I)*

Yes  No

- 2) Does the applicant maintain segregated portfolio for each sub-funds or share classes/equivalent structures?

Yes  No

If segregated portfolio is maintained for each sub-funds or share classes/ equivalent structures of the applicant, names of such sub-funds or share classes/ equivalent structures that intend to invest in India.

Sr. No.	Name of sub-funds or share classes/ equivalent structures that intend to invest in India

*(BO declaration is required for each fund/sub-fund/share class/equivalent structure that invests in India)*

- 3) Details of eligible Category I entity registered under 5(a)(v)(B) of SEBI (FPI) Regulations, 2019 (as amended from time to time)

Name of entity	Country	Entity type as per Regulation 5(a)

#### 4) Bank or subsidiary of bank declaration

- We are not a bank or a subsidiary of a bank:
- We are a bank or a subsidiary of a bank, and we/ group companies have a branch office or representative office in India
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- We are a bank or a subsidiary of a bank and we/group companies do not have any branch office or representative office in India

#### 5) Non-resident Indians (NRIs) and/or Overseas Citizen of India (OCIs) and/or Resident Indian (RI) declaration

*(not applicable for entities seeking registration under regulation 5(a)(i))*

##### Section A- I: NRI/OCI/RI – Control

- 1)  a) There is no NRI/OCI/RI who exercises control over the FPI  
OR  
 b) NRI/OCI/RI exercise control in us and we confirm that we will meet eligibility conditions mentioned within two years from the date of registration  
OR
- 2)  a) The applicant is not controlled by an investment manager who in turn is controlled by NRI/OCI/RI.  
OR  
b) NRIs/OCI/RIs controlled Investment Manager (IM) is in control of the applicant and the said IM is:  
 i) Appropriately regulated and is registered with SEBI as a non-investing FPI.  
 ii) Incorporated/setup under Indian laws and appropriately registered with SEBI.
- 3)  We are a non-investing FPI directly or indirectly fully owned and/ or controlled by a NRI/ OCI/ RI.  
OR
- 4)  We are an offshore fund for which no-objection certificate has been provided by SEBI in terms of SEBI (Mutual Funds) Regulations, 1996  
OR
- 5) None of the above restrictions/conditions mentioned in Section A & B are applicable to us as we are/shall be investing only in mutual funds in India through our FPI registration

##### SECTION B - II: NRI/OCI/RI - Entitlement in FPI

- 1)  We confirm that there are no NRI/OCI/RI who are constituents/investors in the FPI  
OR
- 2)  We confirm that NRIs/ OCIs/ RIs\* as investors in the FPI and contributions by single NRI/OCI/RI including those of NRI/OCI/RI controlled Investment Manager are below 25 percent of the corpus of the FPI and in aggregate is below 50 percent of the corpus of FPI  
*\* Explanation: Resident Indian's contribution, if any, that is made through Liberalised Remittance Scheme (LRS) approved by Reserve Bank of India in our funds and our Indian exposure is less than 50%.*  
OR
- 3) Investments by NRI/OCI/RI in the FPI are not/ will not be meeting above condition(s) and we confirm that we will meet the condition(s) within two years from the date of registration.  
OR
- 4) None of the above restrictions/conditions mentioned in Section A & B are applicable to us as we are/shall be investing only in mutual funds in India through our FPI registration  
OR
- 5)  a) We confirm that NRIs/OCIs/RIs as investors in the FPI and contributions by single NRI/OCI/RI including those of NRI/OCI/RI controlled Investment Manager are below 25 percent of the corpus of the FPI. The aggregate contributions by NRI/OCI/RI are intended to be above 50% / are above 50% of the corpus of the FPI and we shall at all times be in compliance with the SEBI (Foreign Portfolio Investors) Regulations, 2019 and Master Circular for Foreign Portfolio Investors, Designated Depository Participants and Eligible Foreign Investors as amended from time to time.[Applicable only in case of eligible applicants from International Financial Services Centres in India]”

OR

5)  b) Investments by NRI/OCI/RI in the FPI are not / will not be meeting condition that contribution by a single NRI / OCI / RI (including those of NRI/OCI/RI controlled Investment Manager) are below 25 percent of the corpus of the FPI and we confirm that we will meet this condition within two years from the date of registration. The aggregate contributions by NRI/OCI/RI are intended to be above 50% / are above 50% of the corpus of the FPI and we shall at all times be in compliance with the SEBI (Foreign Portfolio Investors) Regulations, 2019 and Master Circular for Foreign Portfolio Investors, Designated Depository Participants and Eligible Foreign Investors as amended from time to time. [Applicable only in case of eligible applicants from International Financial Services Centres in India]”

OR

6)  We are a non-investing FPI directly or indirectly fully owned and/ or controlled by a NRI/ OCI/ RI.

6) Applicants undertaking investments on behalf of its clients. *(Applicable only for entities seeking registration under regulation 5(b)(vii))*

a) Clients are individuals and/or family offices.

b) Clients are eligible for registration as FPI and are not dealing on behalf of third party.

c) Applicable KYC prescribed by SEBI has been performed on the clients.

d) The complete investor details of its clients is as below and we shall provide the same on quarterly basis (end of calendar quarter) by end of the following month to DDP.

Details of client				
Sr. No.	Name	Country	Address	Type (Individual/ Family office)

7) Does FPI wish KRAs to seek consent prior to permitting any intermediary to download their KYC information

Yes  No

*If Yes, please provide below information*

<b>Name of authorized representative of FPI (optional)</b>	
<b>Email id 1 (Mandatory) :</b>	
<b>Email id 2 (Optional) :</b>	
<b>Email id 3 (Optional) :</b>	
<b>Mobile number (optional):</b>	

8) Information in respect of Authorized signatories to Form/ senior management of FPI applicant

Sr. No.	Name	Relationship with Applicant (i.e. promoters, directors, Signatory etc.)	PAN (if applicable)	Nationality/ Country of Residence	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)

*# Column 6, 7 & 8 is not applicable for Category I FPI as well as Category II FPIs with sub-category 5(b)(i) viz. 'Appropriately regulated fund not eligible as Category I FPIs.*

9) INFORMATION REGARDING INTERMEDIATE MATERIAL SHAREHOLDER/ OWNER ENTITY

*(For determining Beneficial owner details as per circular issued by SEBI from time to time)*

a) Details on the basis of ownership or entitlement:

We declare that there is no entity holding >= \_\_% of ownership/ entitlement through shares/units, economic benefit participation etc. including cumulative direct / indirect holding held through single or multiple entities.

OR

Details of entities holding  $\geq$  % 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:

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	LEI (if any)

b) Beneficial Ownership by Control:

We declare that there is no entity who controls through means like voting rights, agreements, arrangements, etc.

OR

Details of controlling entity is provided as under:

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/ Non-Individual	LEI (if any)

#### 10) Details of Legal Entity

We are Legal Entity in itself and the details are disclosed above in the application form.

OR

We are NOT a Legal Entity and the details of the Legal Entity are provided as under:

Name	
Structure:	<input type="checkbox"/> Corporate <input type="checkbox"/> Trust <input type="checkbox"/> Partnership <input type="checkbox"/> Association of Persons <input type="checkbox"/> Body of Individuals <input type="checkbox"/> Others _____
Country of Incorporation/ Establishment/ Formation:	

Date:

Name of Applicant:

(Signature block for Applicant)

Signature(s) of Authorised Person(s)

### C: UNDERTAKING FROM INVESTMENT MANAGER UNDER REGULATION 5(a)(iv)(II) or 5(a)(v)(A), AS APPLICABLE

We ( ) are the Investment manager of ( ) and are responsible for investment activity of the fund. We also undertake that we shall be responsible and liable for all acts of commission and omission of (name of the Applicant) and other deeds and things done by them under the Securities and Exchange Board of India (Foreign Portfolio Investors) Regulations, 2019. We continue to meet eligibility requirements as applicable to Category I FPI under the Securities and Exchange Board of India (Foreign Portfolio Investors) Regulations, 2019.

Place:

Date:

(Signature block)

Signature(s) of Authorised Person(s)



**D: UNDERTAKING FROM ELIGIBLE CATEGORY I ENTITY UNDER REGULATION  
5(a)(v)(B)**

We ( \_\_\_\_\_ ), undertake that we shall be responsible and liable for all acts of commission and omission of (name of the Applicant) and other deeds and things done by them under the Securities and Exchange Board of India (Foreign Portfolio Investors) Regulations, 2019. We continue to meet eligibility requirements as applicable to Category I FPI under the Securities and Exchange Board of India (Foreign Portfolio Investors) Regulations, 2019.

Place:

Date:

A rectangular box intended for a signature or stamp.

(Signature block)

**Signature(s) of Authorised Person(s)**

