

7) Address & Communication Details

a) Registered /Residence Address

Flat/ Room/ Door/ Block No.

Name of Premises/Building/ village

Road/ Street/Lane/ Post Office

Area/ Locality/ Taluka/ Sub-Division

Town/ City/ District

State/Union Territory

Pin Code/ Zip Code Country Name

b) Office Address

Name of Office

Flat/ Room/ Door/ Block No.

Name of Premises/Building/ Village

Road/ Street/Lane/ Post Office

Area/ Locality/ Taluka/ Sub-Division

Town/ City/ District

State/ Union Territory

Pin Code/ Zip Code Country Name

c) Address of Communication/Correspondence Registered/Residence Office (Please tick as applicable)

d) Contact Details:

Sr. No.	Particulars	Registered/Residence			Office		
		Country Code	Area/ STD Code	Number	Country Code	Area/ STD Code	Number
1	Telephone Number:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	Mobile Number:	<input type="text"/>					
3	Fax Number:	<input type="text"/>					
4	Email ID:	<input type="text"/>					
5	Website:	<input type="text"/>					

8) Information regarding Ultimate Beneficial Owner (End Natural Person)

a) Individual Custodian/DDPs may seek additional documentation/ownership details at a lower threshold than prescribed, based on their independent evaluation and risk classification of the respective FPI applicants on the basis of multiple parameters such as home jurisdiction, type of entity, nature of business etc.

- We declare that there is no natural person/individual who are ultimately holding > % beneficial ownership directly/indirectly into the entity as well as on controlling basis for companies, Trust & General Partner / Limited Partnership structure. We therefore provide details of the senior managing official of the FPI as under.
- The list of beneficial owners as per materiality threshold for controlling ownership interest and / or on control basis is provided as under:

S. No	Name & Address of the Beneficial Owner (Natural Person)	Date of Birth	Tax Residency Jurisdiction	Nationality	Whether acting alone or together, or through one or more natural person as group with their name & address	BO Group 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 Licence) [Please provide any]
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

Signature of the Applicant _____

b) Does it have few persons or persons of the same family holding beneficial ownership and control?

Yes No

9) Income details

a) Source of Income: Code for Business / Profession

b) Gross Annual Income (in INR): _____

Net worth (Asset less liabilities) (in INR): _____ as on: _____ (DD/MM/YYYY)

10) Occupation Details:

For Individuals For Non – Individuals

11) Documents submitted as Proof of Identity (POI) and Proof of Address (POA) for KYC

Proof of Identity (POI) Proof of Address (POA)

12) Whether the applicant or the applicant'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

Part B- FPI Registration Information

13) Category of Applicant

Classification of applicant (*please select the most appropriate category. Refer 'Instruction/ guidelines'*)

a) Type of category Name of Sub- Category

b) Investing/ Non- Investing entity (only applicable for Investment Manager)

14) Whether the applicant is seeking registration under Multi Investment Manager(MIM) structure?

Yes No

15) Details of Investment Manager of FPIs which are registered under regulation 5 (a) of SEBI (FPI) Regulations, 2019 (as amended from time to time) or FPI seeking registration under MIM structure

Sr. No.	Name of Investment Manager	SEBI Registration No.

16) Whether the applicant has provided with valid self-certification/ FATCA/ CRS declaration form?

Yes Not Applicable

17) Information pertaining to the compliance officer

Name			
Job Title			
Telephone no.			
E-mail ID	Fax No.		

18) Details of Regulatory authority by which the applicant is regulated (If applicable)

Name			
Country	Web-site		
Registration Number/ Code with Regulator, if any			
Category / Capacity in which the applicant is Regulated			

Signature of the Applicant _____

19) Whether the applicant is coming through Global Custodian? Yes No

If yes, please provide name of Global custodian	
Name of Regulator	
Registration Number/ code with regulator, if any	
Address	

20) Details of the designated depository participant, custodian of securities and designated AD Category I bank appointed

a) Name of the DDP/ Custodian of Securities / Depository Participant

Name	SEBI Registration number
------	--------------------------

b) Details of designated AD category I bank (approved by RBI)

Name of the Bank and Branch	
Address	

21) 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 applicant 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 applicant'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)

22) Clubbing of Investment Limit

We share common ownership, directly or indirectly, of more than fifty percent or common control with other FPIs and are not exempt from regulation 22(4). Details of investor group are as below:

Sr. No.	Name of FPI/ ODI subscriber with whom the applicant shares, ownership of more than 50% or common control	If ODI subscriber, please mention the name of dealing FPI	Registration No. of FPI

In case Clubbing of investment limits of FPIs having common control is not being done in case of public retail funds as referred in Regulation 22(4), please provide following details :

Sr.No.	Name of FPI	FPI Registration Number	Name of Common Controlling Person

23) Details of Prior association with Indian securities market

Whether the applicant was anytime associated with Indian securities market as FPI, FII, sub account, QFI or FVCI ? Yes No

Name of the Entity	Registered/ associated as	SEBI Registration No. (if applicable)

Part C- Additional Information for obtaining PAN

24) Whether the applicant already holds PAN If Yes, please mention PAN: _____.
If No, then below mentioned fields will be applicable.

25) Status of Applicant

26) Assessing Officer (AO code)

Area code	AO type	Range code	AO No.

Signature of the Applicant _____

36) Spouse Name

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PART E: Depository & Bank Account Opening**37) Details To Be Obtained For Opening Depository Account****a) Authorisation**

I/We hereby request Depository Participant viz., _____ (Name of the DP) to open Depository account in my/our name as mentioned in the application form.

OR

I/We is/are non-investing FPI and do not wish to open Depository Account.

b) Mode of Operation for Sole/First Holder (in case of joint holdings, all the holders must sign) [applicable to Non-individuals]

<input type="checkbox"/>	Any one single	
<input type="checkbox"/>	Jointly by	
<input type="checkbox"/>	As per resolution	
<input type="checkbox"/>	Others (please specify)	

38) Bank Account Information:

I/We hereby request to open Special Non Resident Rupee Account (SNRA) in my/our name.

OR

I/We is/are non-investing FPI and do not wish to open Bank Account.

PART- F (Declaration & Undertaking)**Declaration and Undertaking**

I/We _____, the applicant, in the capacity of _____ 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 hereby apply for registration as Foreign Portfolio Investor ("FPI") in accordance with the Securities and Exchange Board of India (Foreign Portfolio Investors) Regulations, 2019, obtain Permanent Account Number (PAN) from Income Tax Department of India and open Depository Account & Bank Account (if applicable). Further, 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. I/We hereby declare that I/we fulfill the eligibility criteria under the FPI Regulations and I/we am/are eligible to register as a FPI. Further, I/we hereby declare that I/we do not hold PAN issued by Income Tax Department currently and shall be liable for penalty of Rs. 10,000/- as per provision of section 272(B) of Income Tax Act, 1961 for possession of more than one PAN.

Place _____ Date: _____

For and on behalf of applicant

Signature of Authorized Signatory	
Name	
Designation (not applicable to individual persons)	
Date	DD/MM/YYYY

Signature / Left Thumb Impression of Applicant (Inside the box)

Signature of the Applicant _____

FOR OFFICE USE ONLY

Name of Depository Participant			
Address of Depository Participant			
DP ID		Client ID	

Applicant Bank Account Information (To be captured in the depository system)

1)	Bank account type- Others - SNRA_____												
2)	Bank Account Number												
3)	Bank Name												
4)	Branch Address												
		City/town/ village			PIN Code								
		State			Country								
5)	MICR Code												

Documents Received Risk Category

IN PERSON VERIFICATION CARRIED OUT BY

Identity Verification: Done Date:

Emp. Name _____ Emp. Code _____

Emp. Designation _____ Emp. Branch _____

Signature

INSTITUTION DETAILS

Name _____

Code _____

(Institution Stamp)

INSTRUCTIONS FOR FILLING COMMON APPLICATION FORM (CAF)

- (a) Common Application Form (CAF) will be available for the FPI applicants on the website(s) of NSDL (www.nsdل.co.in) or (www.fpi.nsdل.co.in)
- (b) Form should be filled by the applicants in **Electronic mode** and legibly in BLOCK LETTERS.
- (c) Each box, wherever provided, should contain only one character (alphabet /number / punctuation sign) leaving a blank box after each word.
- (d) 'Individual' applicants should affix two recent colour photographs with white background (size 3.5 cm x 2.5 cm) in the space provided on the form. The photographs should not be stapled or clipped to the form. The clarity of image on PAN card will depend on the quality and clarity of photograph affixed on the form. Since this form is to be submitted in electronic mode, one photograph should be affixed electronically and another to be affixed in the box provided on the right side of the form .
- (e) Signature / Left hand thumb impression should be provided across the photo affixed on the left side of the form in such a manner that portion of signature/impression is on photo as well as on form.
- (f) Signature /Left hand thumb impression should be **within the box** provided on the right side of the form. The signature should not be on the photograph affixed on right side of the form. If there is any mark on this photograph such that it hinders the clear visibility of the face of the applicant, the application will not be accepted.
- (g) Thumb impression, if used, should be attested by a Notary Public or an authorized officer in respective country of residence under official seal and stamp.
- (h) AO code (Area Code, AO Type, Range Code and AO Number) of the Jurisdictional Assessing Officer must be filled up by the applicant. These details can be obtained from the Income Tax Office or PAN Centre or websites of PAN Service Providers on www.tin-nsdل.com and www.utiitsل.com.
- (i) Once the form is duly filled in by the applicant in electronic mode and supporting documents uploaded on the inter-face of NSDL, the same shall flow to the Designated Depository Participant (DDP) in electronic manner. The applicant shall thereafter have to take a print of the duly filled form. The duly filled printed form should be signed by applicant and be submitted in physical mode along with requisite documents in original to the Designated Depository Participant (DDP). Applicant should sign on each page of the Form before sending.
- (j) The applicant should submit the applicable fees for SEBI registration and issuance of PAN along with the form to concerned DDP in Dollar terms. The application without fees shall be rejected, The DDP shall thereafter transmit appropriate amount to SEBI (in Dollar terms) and Income Tax department (in INR).
- (k) The DDP shall upload the copy of SEBI registration certificate before the application electronically flows for issuance of PAN.
- (l) Once the PAN is generated, Custodian shall do the KYC. It is mandatory to provide KYC details in case of an application filled by a Foreign Portfolio Investor (FPI) as prescribed under the regulations issued by Securities & Exchange Board of India (SEBI). Please refer the guidelines issued by the SEBI & Prevention of Money Laundering Act for filling these details
- (m) Guidelines for filling the Common Application Form (CAF):

Field No.	Field Name	Guidelines for filling the form
1	Name of the applicant	Please select appropriate title. (Mandatory field) Do not use abbreviations in the First and the Last name/Surname For example, RAVIKANT should be written as:

Last Name/ Surname	X	Y	Z		D	A	T	A		C	O	R	P	O	R	A	T	I	O	N		(I	N)	D
First Name	I	A)		P	R	I	V	A	T	E		L	I	M	I	T	E	D							
Middle Name																										

Last Name/ Surname	M	A	N	O	J		M	A	F	A	T	L	A	L		D	A	V	E		(H	U	F)
First Name																									
Middle Name																									

In case of Company, the name should be provided without any abbreviations. For example, different variations of 'Private Limited' viz. Pvt Ltd, Private Ltd, Pvt Limited, P Ltd, P. Ltd., Ltd are not allowed. It should be 'Private Limited' only.
 In case of sole proprietorship concern, the proprietor should apply for PAN in his/her own name.
 Name should not be prefixed with any title such as Shri, Smt, Kumari, Dr., Major, M/s etc.

2 Abbreviation of the full name to be printed on the PAN card

Individual applicants should provide full/ abbreviated name to be printed on the PAN card. Name, if abbreviated, should necessarily contain the last name.
 For example: **SATYAM VENKAT M. K. RAO** which is written in the Name field as

Last Name/ Surname	R	A	O																						
First Name	S	A	T	Y	A	M																			
Middle Name	V	E	N	K	A	T		M	K																

Can be written as in 'Name to be printed on the PAN card' column as:
 SATYAM VENKAT M.K. RAO or
 S.V.M. K. RAO or
 SATYAM V. M. K. RAO

For non-individual applicants, this should be same as last name field in field no. 1 above

3 Have you ever been known by any other name?

If applicant selects 'Yes', then it is mandatory to provide details of the other name. Instructions in field No. 1 with respect to name apply here. Title should be similar to the title mentioned in Field No. 1.

4 a) Date of birth/ Incorporation/ Agreement/ Formation of body of Individuals or Association of persons/ Establishment

Date cannot be a future date. Date: 2nd August 1975 should be written as:
 Date format- DD/MM/YYYY (Mandatory field)

D	D	M	M	Y	Y	Y	Y
0	2	0	8	1	9	7	5

Relevant date for different categories of applicants is:
 Individual: Actual Date of Birth; Company: Date of Incorporation; Association of Persons: Date of formation/ creation; Trusts: Date of creation of Trust Deed; Partnership Firms: Date of Partnership Deed; LLPs: Date of Incorporation/Registration; HUFs: Date of creation of HUF and for ancestral HUF date can be 01-01-0001 where the date of creation is not available.

b) Date of Commencement of Business

Applicable to Non-Individuals only.
 Date cannot be a future date. Date: 2nd August 1975 should be written as:
 Date format- DD/MM/YYYY (Mandatory field)

D	D	M	M	Y	Y	Y	Y
0	2	0	8	1	9	7	5

5	Place & Country of birth/ Incorporation/ Establishment/ Formation	This field is mandatory for all categories of applicants.																																					
6 a	Legal Entity Identifier	Applicant shall furnish Legal Entity Identifier number, if applicable.																																					
6b	Tax Residency Certificate Details	Applicant shall furnish Tax Residency Certificate no. and Country of Tax Residency. Applicant shall provide multiple tax residency details, if applicable.																																					
7a & 7b	Address-Residence/ Registered and Office	<p>R – Residence/ Registered Address: For Individuals, HUF, AOP, BOI or AJP, residential address is mandatory. Other applicants should mention their registered address.</p> <p>O – Office Address:</p> <ol style="list-style-type: none"> 1) Name of Office and address to be mentioned in case of individuals having source of income as salary or Business/profession. [Field no. 9] 2) In case of Firm, LLP, Company, Local Authority and Trust, name of office and complete address of office is mandatory. <p>For all categories of applicants, it is necessary to mention complete address and the details of Town/City/District, State/Union Territory and PINCODE are mandatory.</p> <p>In case, a foreign address is provided then it is mandatory to provide Country Name along with ZIP Code of the country.</p>																																					
7C	Address for Communication/Correspondence	Individuals/HUFs/AOP/BOI/AJP may indicate either 'Residence' or 'Office' and other applicants should necessarily indicate 'Office' as the Address for Communication/Correspondence. All communication/Correspondence will be sent at the address indicated in this field.																																					
7d	Contact Details	<p>1) Telephone number should include country code (ISD code) and STD code and Mobile No. should include Country code (ISD Code). For example: (n) Telephone number 23555705 of Delhi should be written as</p> <table style="margin-left: 40px;"> <tr> <td style="text-align: center;">Country code</td> <td style="text-align: center;">STD code</td> <td style="text-align: center;">Telephone Number</td> </tr> <tr> <td style="text-align: center;"> <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;">+</td><td style="padding: 2px 5px;">9</td><td style="padding: 2px 5px;">1</td></tr> </table> </td> <td style="text-align: center;"> <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;"> </td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td></tr> </table> </td> <td style="text-align: center;"> <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;">2</td><td style="padding: 2px 5px;">3</td><td style="padding: 2px 5px;">5</td><td style="padding: 2px 5px;">5</td><td style="padding: 2px 5px;">5</td><td style="padding: 2px 5px;">7</td><td style="padding: 2px 5px;">0</td><td style="padding: 2px 5px;">5</td></tr> </table> </td> </tr> </table> <p style="margin-left: 40px;">Where '91' is the country code of India and 11 is the STD Code of Delhi.</p> <p>(ii) Mobile number 9102511111 of India should be written as</p> <table style="margin-left: 40px;"> <tr> <td style="text-align: center;">Country code</td> <td style="text-align: center;">Mobile Number</td> </tr> <tr> <td style="text-align: center;"> <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;">+</td><td style="padding: 2px 5px;">9</td><td style="padding: 2px 5px;">1</td></tr> </table> </td> <td style="text-align: center;"> <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;">9</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">0</td><td style="padding: 2px 5px;">2</td><td style="padding: 2px 5px;">5</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td></tr> </table> </td> </tr> </table> <p style="margin-left: 40px;">Where '91' is the country code of India</p> <ol style="list-style-type: none"> 2) It is mandatory for the applicants to mention either their "Telephone number" or valid "e-mail id" so that they can be contacted in case of any discrepancy in the application and/or for receiving PAN through e-mail. 3) Application status updates are sent using the SMS facility on the mobile numbers mentioned in the application form 4) All communications will be sent on provided mobile no.\ Email-Id. 5) FAX number shall be optional. 	Country code	STD code	Telephone Number	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;">+</td><td style="padding: 2px 5px;">9</td><td style="padding: 2px 5px;">1</td></tr> </table>	+	9	1	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;"> </td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td></tr> </table>		1	1	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;">2</td><td style="padding: 2px 5px;">3</td><td style="padding: 2px 5px;">5</td><td style="padding: 2px 5px;">5</td><td style="padding: 2px 5px;">5</td><td style="padding: 2px 5px;">7</td><td style="padding: 2px 5px;">0</td><td style="padding: 2px 5px;">5</td></tr> </table>	2	3	5	5	5	7	0	5	Country code	Mobile Number	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;">+</td><td style="padding: 2px 5px;">9</td><td style="padding: 2px 5px;">1</td></tr> </table>	+	9	1	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;">9</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">0</td><td style="padding: 2px 5px;">2</td><td style="padding: 2px 5px;">5</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">1</td></tr> </table>	9	1	0	2	5	1	1	1	1	1
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8	Information regarding Ultimate Beneficial Owner (End Natural Personal)	<p>Please furnish Ultimate Beneficial Owner (UBO) information as applicable. Ultimate beneficial owner shall be as provided under the circular on AML/ CFT & KYC issued by SEBI from time to time. Any natural person identified as the Ultimate Beneficial Owner (UBO) should not be a legal representative, such as a nominee, legal counsel/ attorney, trustee, accountant, administrator etc. 'Control' is as defined in accordance with rule 9(3) of Prevention of Money - laundering (Maintenance of records) Rules, 2005 as amended from time to time. In case the UBO holds India PAN (local tax ID), details of the same need to be provided in the last column of the BO table.</p> <p>List of values in 'Ultimately holding Beneficial ownership' (drop down box)</p> <ol style="list-style-type: none"> 1) 10% 2) 15% 3) 25% 4) Others. If Others, Please specify_____ <p>The details required at column no. 8 are exempted for category I applicants as well as Category II applicants with sub category (5)(b)(i) viz., 'Appropriately regulated funds not eligible as Category I FPI.</p>																																					

9	Income details	<p>It is mandatory to indicate at least one of the sources of incomes, as mentioned in the form.</p> <p>List of values in 'Source of Income'</p> <ol style="list-style-type: none"> 1) Salary 2) Capital Gains 3) Income from Business/ Profession 4) No Income 5) Income from other Sources 6) Income from House Property <p>In case, the income from Business/profession is selected by the applicant then an appropriate business/ profession code should be mentioned.</p> <table border="1" data-bbox="279 421 1308 967"> <thead> <tr> <th>Code</th> <th>Business/Profession</th> <th>Code</th> <th>Business profession</th> </tr> </thead> <tbody> <tr> <td>01</td> <td>Medical Profession and Business</td> <td>11</td> <td>Films, TV and such other entertainment</td> </tr> <tr> <td>02</td> <td>Engineering</td> <td>12</td> <td>Information Technology</td> </tr> <tr> <td>03</td> <td>Architecture</td> <td>13</td> <td>Builders and Developers</td> </tr> <tr> <td>04</td> <td>Chartered Accountant/ Accountancy</td> <td>14</td> <td>Members of Stock Exchange, Share Brokers and Sub-Brokers</td> </tr> <tr> <td>05</td> <td>Interior Decoration</td> <td>15</td> <td>Performing Arts and Yatra</td> </tr> <tr> <td>06</td> <td>Technical Consultancy</td> <td>16</td> <td>Operation of Ships, Hovercraft, Aircrafts or Helicopters</td> </tr> <tr> <td>07</td> <td>Company Secretary</td> <td>17</td> <td>Plying Taxis, Lorries, Trucks, Buses or other Commercial Vehicles</td> </tr> <tr> <td>08</td> <td>Legal Practitioner and Solicitors</td> <td>18</td> <td>Ownership of Horses or Jockeys</td> </tr> <tr> <td>09</td> <td>Government Contractors</td> <td>19</td> <td>Cinema Halls and Other Theatres</td> </tr> <tr> <td>10</td> <td>Insurance Agency</td> <td>20</td> <td>Others</td> </tr> </tbody> </table>	Code	Business/Profession	Code	Business profession	01	Medical Profession and Business	11	Films, TV and such other entertainment	02	Engineering	12	Information Technology	03	Architecture	13	Builders and Developers	04	Chartered Accountant/ Accountancy	14	Members of Stock Exchange, Share Brokers and Sub-Brokers	05	Interior Decoration	15	Performing Arts and Yatra	06	Technical Consultancy	16	Operation of Ships, Hovercraft, Aircrafts or Helicopters	07	Company Secretary	17	Plying Taxis, Lorries, Trucks, Buses or other Commercial Vehicles	08	Legal Practitioner and Solicitors	18	Ownership of Horses or Jockeys	09	Government Contractors	19	Cinema Halls and Other Theatres	10	Insurance Agency	20	Others
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02	Engineering	12	Information Technology																																											
03	Architecture	13	Builders and Developers																																											
04	Chartered Accountant/ Accountancy	14	Members of Stock Exchange, Share Brokers and Sub-Brokers																																											
05	Interior Decoration	15	Performing Arts and Yatra																																											
06	Technical Consultancy	16	Operation of Ships, Hovercraft, Aircrafts or Helicopters																																											
07	Company Secretary	17	Plying Taxis, Lorries, Trucks, Buses or other Commercial Vehicles																																											
08	Legal Practitioner and Solicitors	18	Ownership of Horses or Jockeys																																											
09	Government Contractors	19	Cinema Halls and Other Theatres																																											
10	Insurance Agency	20	Others																																											

10	Occupation Details	<p>This field is mandatory for all categories of applicants.</p> <p>List of values in 'Occupational Details'</p> <p>For Individuals (drop down box)</p> <ol style="list-style-type: none"> 7) Service - Private sector 8) Service - Public Sector 9) Service - Govt. service 10) Business 11) Professional 12) Agriculturist 13) Retired 14) Housewife 15) Student 16) Others <p>Non- Individuals (drop down box)</p> <ol style="list-style-type: none"> 1) Private Company (R) 2) Public Company (U) 3) Body Corporate (D) 4) Financial Institution (S) 5) Non-Government Organisation (N) 6) Charitable Organisation (C)
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11	Documents submitted as proof of Identity (POI) & proof of Address (POA) for KYC	<p>List of values in 'Proof of Identity' (POI) (drop down box) –</p> <p>FOR INDIVIDUALS</p> <p>A- Passport Number, Please specify Passport Expiry Date: __/__/____</p> <p>B- Voter ID Card</p> <p>C- PAN card with Photograph</p> <p>D- Driving Licence Number, Please specify Driving Licence Expiry Date: __/__/____</p> <p>F- NREGA Job Card</p> <p>Z- Others (any document notified by the central/state government and its Departments, Statutory/Regulatory Authorities, Tax Authorities, Identification Number _____)</p> <p>FOR NON-INDIVIDUALS</p> <ol style="list-style-type: none"> 1) Certificate of Incorporation/ Formation
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- 2) Registration Certificate
- 3) Memorandum of Article of Association/ Partnership Deed/ Trust Deed/Prospectus/offering memorandum or equivalent document

Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is selected.
3. One copy of any one of the mentioned Proof of Identity [Pol] needs to be submitted.
4. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification OR Copies should be properly attested by entities authorized for attesting the documents
5. If any proof of identity is in a foreign language, then translation into English is required.

List of values in 'Proof of Address' (POA) (drop down box)

FOR INDIVIDUALS

- 1) Passport
- 2) Driving Licence
- 3) Voter Identity Card
- 4) NREGA Job Card
- 5) Others (any document notified by the central/state government and its Departments, Statutory/Regulatory Authorities, Tax Authorities) _____

FOR NON-INDIVIDUALS

- 1) Certification of Incorporation/ Formation
- 2) Registration Certificate
- 3) Category 1 and Category 2 FPIs: Power of Attorney given by FPI to Custodians (duly notarized and/or apostilled or consularised) that mentions the registered address of the FPI
- 4) Utility bill, which is not more than two months old, of any service provider (landline or electricity);
- 5) Bank account statement, Not more than 3 months old

Document with address, issued by Central/State Government and its Departments, Statutory/Regulatory Authorities, Tax Authorities.

Clarification / Guidelines on filling 'Proof of Address [PoA]-section

1. One copy of any one of the mentioned PoA needs to be submitted.
 - i. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification OR
 - ii. Copies should be properly attested by entities authorized for attesting the documents.
2. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
3. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
4. If correspondence & permanent address are different, then proofs for both have to be submitted.
5. If any proof of address is in a foreign language, then translation into English is required.

12	Politically exposed person	Politically Exposed Persons (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.
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13	Category of Applicant	<p>List of values in 'Type of Category' for FPI (drop down box)</p> <p>1) Category- I 2) Category- II</p> <p>List of values in 'Name of Sub Category of FPI' (drop down box)</p> <p>a. "Category I foreign portfolio investor" which shall include –</p> <p>(i) Government and Government related investors such as central banks, sovereign wealth funds, international or multilateral organizations or agencies including entities controlled or at least 75% directly or indirectly owned by such Government and Government related investor(s);</p> <p>(ii) Pension funds and university funds;</p> <p>(iii) Appropriately regulated entities such as insurance or reinsurance entities, banks, asset management companies, investment managers, investment advisors, portfolio managers, broker dealers and swap dealers;</p> <p>(iv) Entities from the Financial Action Task Force member countries which are –</p> <p style="padding-left: 40px;">I. appropriately regulated funds;</p> <p style="padding-left: 40px;">II. unregulated funds whose investment manager is appropriately regulated and registered as a Category I foreign portfolio investor: Provided that the investment manager undertakes the responsibility of all the acts of commission or omission of such unregulated fund;</p> <p style="padding-left: 40px;">III. university related endowments of such universities that have been in existence for more than five years;</p> <p>(v) An entity (A) whose investment manager is from the Financial Action Task Force member country and such an investment manager is registered as a Category I foreign portfolio investor; or (B) which is at least seventy-five per cent owned, directly or indirectly by another entity, eligible under sub-clause (ii), (iii) and (iv) of clause (a) of this regulation and such an eligible entity is from a Financial Action Task Force member country:</p> <p style="padding-left: 40px;">Provided that such an investment manager or eligible entity undertakes the responsibility of all the acts of commission or omission of the applicants seeking registration under this sub-clause.</p> <p>b. "Category II foreign portfolio investor" shall include all the investors not eligible under Category I foreign portfolio investors such as –</p> <p style="padding-left: 40px;">(i) appropriately regulated funds not eligible as Category-I foreign portfolio investor;</p> <p style="padding-left: 40px;">(ii) endowments and foundations;</p> <p style="padding-left: 40px;">(iii) charitable organisations;</p> <p style="padding-left: 40px;">(iv) corporate bodies;</p> <p style="padding-left: 40px;">(v) family offices;</p> <p style="padding-left: 40px;">(vi) Individuals;</p> <p style="padding-left: 40px;">(vii) appropriately regulated entities investing on behalf of their client, as per conditions specified by the Board from time to time;</p> <p style="padding-left: 40px;">(viii) Unregulated funds in the form of limited partnership and trusts;</p> <p>Explanation: An applicant incorporated or established in an International Financial Services Centre shall be deemed to be appropriately regulated.</p> <p>In case of Investment manager proposed to be registered under Category I, it may be clarified whether it is investing entity or not.</p>
15	Details of Investment Manager of FPIs	FPIs are required to provide name of its Investment Manager wherever applicable

16	Whether the applicant has provided with valid self-certification/ FATCA/CRS declaration.	Foreign entity cannot open demat account for investment in India without valid self-certification/ FATCA/CRS declaration form (Not mandatory for non-investing FPIs).
17	Information pertaining to the compliance officer	This field is applicable to Non-Individuals
24	Whether the applicant already holds PAN	List of values in ' Whether the applicant holds PAN ' (drop down box) 1) Yes 2) No If " NO ", then please mention fields from pt. 25 to 31.
25	Status of Applicant	This field is mandatory for all categories of applicants. In case of 'Limited Liability Partnership', the PAN will be allotted in 'Firm' status. List of values in ' Status of Applicant ' (drop down box) 1) Individual 2) Company 3) Partnership firm 4) Government 5) Trusts 6) Body of individuals 7) Local Authority 8) Artificial Juridical persons 9) Association of Persons 10) Limited Liability Partnership
27	Registration Number	Not applicable to Individuals and HUFs. Mandatory for 'Company'. Company should mention registration number issued by the Registrar of Companies or the concerned Government Authority of country of residence.
28	Name and address of Representative Assessee	Section 160 of Indian Income Tax Act, 1961 provides that any 'specified person' (assessee) can be represented through Representative Assessee. Therefore, this column should be filled in by representative assessee only as specified in Section 160 of the Indian Income-tax Act, 1961, such as, an agent of the non-resident, guardian or manager of a minor, lunatic or idiot, Court of Wards, Administrator General, Official Trustee, receiver, manager, trustee of a Trust including Wakf. This field will contain particulars of the Representative Assessee. This field is mandatory if applicant is minor, deceased, idiot, lunatic or mentally retarded. The details of person on whose behalf this application is submitted. Proof of Identity and Proof of address are also required for representative assessee.

31	Documents submitted as proof of Identity (POI) & proof of Address (POA) for PAN	<p>It is mandatory to attach proof of identity and proof of address with PAN application. Documents should be in the name of applicant. List of documents which will serve as proof of identity and address for each status of applicant is as given below: Document acceptable as proof of identity and address as per Rule 114(4) of Income Tax Rules, 1962</p> <p>For Individuals and HUF</p> <table border="1" data-bbox="279 257 1508 1041"> <thead> <tr> <th data-bbox="279 257 821 291">Proof of Identity (Copy of)</th> <th data-bbox="821 257 1508 291">Proof of address (copy of)</th> </tr> </thead> <tbody> <tr> <td data-bbox="279 291 821 324">1. Copy of passport, or</td> <td data-bbox="821 291 1508 324">1. Copy of passport, or</td> </tr> <tr> <td data-bbox="279 324 821 369">2. Copy of Person of Indian Origin (PIO) card issued by Government of India, or</td> <td data-bbox="821 324 1508 369">2. 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Copy of Visa granted & Copy of appointment letter or contract from Indian Company & Certificate (in original) of Indian address issued by the employer.</td> </tr> </tbody> </table> <p>For other than Individuals</p> <table border="1" data-bbox="279 1097 1508 1489"> <tbody> <tr> <td data-bbox="279 1097 821 1489">1. Copy of Certificate of Registration issued in the country where the applicant is located, duly attested by "Apostille" (in respect of the countries which are signatories to the Hague Convention of 1961) or by the Indian Embassy or High Commission or Consulate in the country where the applicant is located or authorised officials of overseas branches of Scheduled Banks registered in India, or 2. Copy of registration certificate issued in India or of approval granted to set up office in India by Indian Authorities.</td> <td data-bbox="821 1097 1508 1489">1. 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Copy of Certificate of Residence in India or Residential permit issued by the State Police Authorities, or 8. Copy of Registration certificate issued by the Foreigner's Registration Office showing Indian address, or 9. Copy of Visa granted & Copy of appointment letter or contract from Indian Company & Certificate (in original) of Indian address issued by the employer.	1. Copy of Certificate of Registration issued in the country where the applicant is located, duly attested by "Apostille" (in respect of the countries which are signatories to the Hague Convention of 1961) or by the Indian Embassy or High Commission or Consulate in the country where the applicant is located or authorised officials of overseas branches of Scheduled Banks registered in India, or 2. Copy of registration certificate issued in India or of approval granted to set up office in India by Indian Authorities.	1. 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32	Gender	<p>This field is mandatory for Individuals List of values in 'Gender' (drop down box)</p> <ol style="list-style-type: none"> 1) Male 2) Female 3) Transgender 												
33	Marital Status	<p>This field is mandatory for Individuals List of values in 'Marital Status' (drop down box)</p> <ol style="list-style-type: none"> 1) Single 2) Married 3) Divorced 4) Widow/Widower 												
34	Citizenship Status	<p>This field is mandatory for individual applicants. List of values in 'Citizenship Status' (drop down box)</p> <ol style="list-style-type: none"> 1) Foreigner 2) Person of Indian origin 3) Overseas citizen of India <p>For FPI applicants, only Foreigner (Citizenship Status) shall be applicable. In case of Foreigner, please specify country of citizenship as applicable.</p>												

35	Details of Parents (Applicable to Individuals only)	<p>Instructions in Item No.1 with respect to name apply here.</p> <p><u>Whether mother is a single parent and you wish to apply for PAN by furnishing mother's name only?</u></p> <p>It is mandatory for Individual applicants to select the flag (i.e. 'Yes' or 'No').</p> <p>This flag should be selected as 'Yes' only if (i) Mother is a single parent, and (ii) You wish to apply for PAN using mother's name only. Father's name should be left blank.</p> <p>If the flag is selected as 'No', then father's name is mandatory. For such cases, mother's name is optional.</p> <p><u>Father's Name:</u> It is mandatory for Individual applicants (except for cases where mother is a single parent) to provide father's name. Married woman applicant should also give father's name and not husband's name.</p> <p><u>Mother's Name:</u> This is an optional field. Mother's name is mandatory if the flag value (i.e. Whether mother is a single parent and you wish to apply for PAN by furnishing mother's name only?) is selected as 'Yes'.</p> <p><u>Name to be printed on the PAN card:</u> Appropriate flag should be selected to indicate the name (out of the father's name and mother's name given in the form) to be printed on the PAN card. If the 'Mother as a Single Parent' field is selected as 'Yes', then mother's name flag should only be selected for the name to be printed on the PAN Card.</p> <p>If none of the option is selected, then father's name shall be considered for printing on the PAN card. In case of mother as a single parent, mother's name shall be considered for printing on the PAN Card.</p>
	Signature/Thumb impression	<p>Application must be signed by (i) the applicant; or (ii) Karta in case of HUF; or (iii) Director of a Company; or (iv) Authorised Signatory in case of AOP, Body of Individuals, Local Authority and Artificial Juridical Person; or (v) Partner in case of Firm/LLP; or (vi) Trustee; or (vii) Representative Assessee in case of Minor/deceased/idiot/lunatic/mentally retarded.</p> <p>Applications not signed in the given manner and in the space provided are liable to be rejected.</p>

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.

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. **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

Name of entity

- 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. There is no NRI/OCI/RI who exercises control over the FPI
OR
 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. The applicant is not controlled by an investment manager who in turn is controlled by NRI/OCI/RI.
OR
 NRIs/OCI/RIs controlled Investment Manager (IM) is in control of the applicant and the said IM is:
 Appropriately regulated and is registered with SEBI as a non-investing FPI.
OR
 Incorporated/setup under Indian laws and appropriately registered with SEBI.
OR
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

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 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

6. Applicants undertaking investments on behalf of its clients

(Applicable only for entities seeking registration under regulation 5(b)(vii))

- i. Clients are individuals and/or family offices.
- ii. Clients are eligible for registration as FPI and are not dealing on behalf of third party.
- iii. Applicable KYC prescribed by SEBI has been performed on the clients.
- iv. 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

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

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)
1.							

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 \geq __% 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

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

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:

Signature(s) of Authorised Person(s)

(Signature block)