

## FATCA Declaration form for First Individual Contributor

Annexure to the Account opening form for Individual (Requirements under section 285BA of the Act).

Available in soft copy on request

### Section 1: Identification of First Contributor

APPLICANTS	First Contributor
Name of the Accountholder	
Place of Birth	
Country of Birth	India      US      Other
	Others (please state)
Nationality	Country 1 (Name of country and Tax ID No. To be given)
	Country 2
	Country 3

### Section 2: Declaration of Tax Residency / Citizenship

For the purposes of taxation, I am a resident in the following countries and my Tax Identification Number (TIN)/functionalequivalent in each country is set out below or I have indicated that a TIN/functional equivalent is unavailable (kindly fill details of all countries of tax residence if more than one):

Country/countries of tax	Tax identification number (TIN)	Tax issuing Country	Type of documentary evidence attached

### Section 3: Declaration and Undertakings for Individual Applicants/Investors/Contributors

I/We certify that:

- The information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.
- The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- I/We permit/authorise the Investment Manager to collect, store, communicate and process information relating to the Account and all transactions therein, by the Investment Manager and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- I/We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self certification along with documentary evidence.
- I/We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Investment Manager would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI)/RBI for the purpose or take any other action as may be deemed appropriate by the Investment Manager if the deficiency is not remedied by us within the stipulated period.
- I/We hereby accept and acknowledge that the Investment Manager shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me/us to the Investment Manager.
- It shall be my/our responsibilities to educate myself/ourself and to Investment Manager at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- I/We also agree to furnish such information and/or documents as the Investment Manager may require from time to time on account of any change in law either in India or abroad in the subject matter herein. I/We shall indemnify the Investment Manager for any loss that may arise to the Investment Manager on account of providing incorrect or incomplete information.

Is the entity involved in / providing any of these services:	Foreign Exchange/ Money Changer Service	Yes	Gaming/Gambling/ Lottery Services (e.g. agaiinos betting syndicates)	Yes	Money Laundering/ Pawning	Yes	Any other information (if applicable)
		No		No		No	

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(First Contributor)

 Sign Here (investor signature only)

Date : \_\_\_\_\_

Place : \_\_\_\_\_

## FATCA Declaration form for Second Individual Contributor

Annexure to the Account opening form for Individual (Requirements under section 285BA of the Act).

Available in soft copy on request

### Section 1: Identification of First Contributor

APPLICANTS	Second Contributor
Name of the Accountholder	
Place of Birth	
Country of Birth	India      US      Other
	Others (please state)
Nationality	Country 1 (Name of country and Tax ID No. To be given)
	Country 2
	Country 3

### Section 2: Declaration of Tax Residency / Citizenship

For the purposes of taxation, I am a resident in the following countries and my Tax Identification Number (TIN)/functionalequivalent in each country is set out below or I have indicated that a TIN/functional equivalent is unavailable (kindly fill details of all countries of tax residence if more than one):

Country/countries of tax	Tax identification number (TIN)	Tax issuing Country	Type of documentary evidence attached

### Section 3: Declaration and Undertakings for Individual Applicants/Investors/Contributor

I/We certify that:

- The information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.
- The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- I/We permit/authorise the Investment Manager to collect, store, communicate and process information relating to the Account and all transactions therein, by the Investment Manager and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- I/We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self certification along with documentary evidence.
- I/We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Investment Manager would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI)/RBI for the purpose or take any other action as may be deemed appropriate by the Investment Manager if the deficiency is not remedied by us within the stipulated period.
- I/We hereby accept and acknowledge that the Investment Manager shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me/us to the Investment Manager.
- It shall be my/our responsibilities to educate myself/ourself and to Investment Manager at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- I/We also agree to furnish such information and/or documents as the Investment Manager may require from time to time on account of any change in law either in India or abroad in the subject matter herein. I/We shall indemnify the Investment Manager for any loss that may arise to the Investment Manager on account of providing incorrect or incomplete information.

Is the entity involved in / providing any of these services:	Foreign Exchange/ Money Changer Service	Yes	Gaming/Gambling/ Lottery Services (e.g. agaiinos betting syndicates)	Yes	Money Laundering/ Pawning	Yes	Any other information (if applicable)
		No		No		No	

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(Second Contributor)

 Sign Here (investor signature only)

Date : \_\_\_\_\_

Place : \_\_\_\_\_

## Risk Profiler for Individual and Non Individual

### For First Contributor,

Contributor Name:

Occupation:

Source of Income:

1	Do you understand that this Alternative Investment Fund is investing in equities and require minimum capital commitment of ₹ 1 crore?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Do you have understand equity markets are subject to market risks and there maybe loss of capital commitment ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	What is your time horizon, while you consider your investments ?	<input type="checkbox"/> 3-5 years <input type="checkbox"/> Above 5 yr

### For Second Contributor,

Contributor Name:

Occupation:

Source of Income:

1	Do you understand that this Alternative Investment Fund is investing in equities and require minimum capital commitment of ₹ 1 crore ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Do you have understand equity markets are subject to market risks and there maybe loss of capital commitment ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	What is your time horizon, while you consider your investments ?	<input type="checkbox"/> 3-5 years <input type="checkbox"/> Above 5 yr

### Additional information (Mandatory for individuals & non individual)

#### Annual income first-second holder (for individual only) (in rupees)

**First Applicant** ☐ 25 lakh-1 Crore ☐ 1-5 Crore ☐ More than 5 Crore

**Second Applicant** ☐ 25 lakh-1 Crore ☐ 1-5 Crore ☐ More than 5 Crore

OR

Networth as on date \_\_\_\_\_ (Mandatory for Non Individual Investor)

This questionnaire is for the Investment Manager to understand and asses the investor's risk profile in order to guage the product suitability.

The answers to the above questionnaire for each of the questions are true to the best of my knowledge and belief and I am aware that the said Product is of High Risk Category and is suitable to me and chosen after considering/understanding all Risk Factors of the same.

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(First Contributor)  
Authorised Signatory with Stamp

 Sign Here (investor signature only)

(Second Contributor)  
Authorised Signatory with Stamp

 Sign Here (investor signature only)

Date : \_\_\_\_\_

Place : \_\_\_\_\_