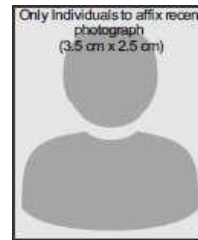


COMMON APPLICATION FORM (Abridge CAF)

[Abridged Combined Application form for registration of Foreign Portfolio Investor (FPI) with SEBI, Allotment of Permanent Account Number (PAN) and Know Your Customer (KYC) for opening Bank and Demat Account. This form is applicable for applicants having common Investment Manager or / Same umbrella fund. Investment Manager or umbrella fund seeking registration for the first time of it's fund/sub-fund will seek registration via main CAF]



Signature /Left Thumb Impression (across the photo)

To avoid mistake(s), please follow the accompanying instructions and examples before filling up the form

Signature /Left Thumb Impression

Sir,

I/We here by request that a **Permanent Account Number & FPI registration number** be allotted to me/us. In this context, I/We give below necessary particulars:

PART A - KYC INFORMATION

1) Name of Applicant (Full expanded name to be mentioned as appearing in proof of identity/ address documents: initials are not permitted)

M/S

2) Abbreviation of the Name, as you would like it, to be printed on the PAN card

3) Have you ever been known by any other name? If yes, please give that other name ☐ Yes ☐ No

M/S

4) Date of Birth/Incorporation/Agreement/ Formation of body of Individuals or Association of Persons/ Establishment (DD/MM/YYYY)

	Particulars	Date
a)	Date of Incorporation / Agreement /Partnership or Trust Deed / Establishment / Formation of body of Individuals or Associations of persons	
b)	Date of Commencement of Business	

5) Place and Country of Birth/ Incorporation/ Establishment/ Formation

Place Country ISD Country Code

6) Legal Entity Identifier & Tax Residency Certificate details

a) Legal Entity Identifier (LEI)

7) Address & Communication Details

d) Contact Details

Sr. No.	Particulars	Registered / Residence			Office		
		Country Code	Area/STD Code	Number	Country Code	Area/STD Code	Number
1	Telephone Number						

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 $\geq 15\%$ 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:

Sr. 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							

b) Does it have few persons or persons of the same family holding beneficial ownership and control? ☐ Yes ☐ No

9) Income details

b) Gross Annual Income (in INR) :

Signature of the Applicant: _____

Net worth (Asset less liabilities) (in INR) :

as on :

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

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

11) Whether the applicant or the applicant's authorized signatories/ Promoters/ Partners/ Trustees/ Whole Time Directors/Office bearer is

- I) A politically exposed person : ☐ Yes ☐ No
- II) Related to a politically exposed person : ☐ Yes ☐ No

PART B - FPI Registration Information

12) Category of Applicant

Type of Category	
Name of Sub-Category	

13) 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.	SEBI Registration No.	Name of Investment Manager	Expiry Date

14) Information pertaining to the compliance officer

Name	
Job Title	
Telephone No.	
Email Id.	
Fax No.	

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

Name	
Country	
Website	
Registration number / Code with Regulator, if any	
Category / Capacity in which the applicant is Regulated	

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

If yes, please provide name of Global Custodian	
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17) Details of the Designated Depository Participant(DDP), 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	

18) 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

19) 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 the 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
1			

☐ 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
1	Not Applicable	Not Applicable	Not Applicable

20) 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)
Not Applicable	Not Applicable	Not Applicable

PART C - Additional Information for obtaining PAN

21) Whether the applicant already holds PAN ☐ If Yes, please mention PAN :

22) Status of Applicant Company

23) Assessing Officer (AO code)

Area Code	AO type	Range code	AO No.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

24) Registration Number (for Company, firms, LLP, etc.) (Not applicable to Individuals)

25) Representative or Agent of the Applicant in India

Do you wish to appoint Representative Assessee or Agent of Applicant in India ? ☐ Yes ☐ No

26) In case of Public company, whether listed on a Stock Exchange ☐ Yes ☐ No

If yes, then indicate name of the Stock Exchange :

27) Is the entity involved / providing any of the following services

Foreign exchange, Money Changer Services ☐ Yes ☐ No
Gaming / Gambling / Lottery services (Casinos and Betting Syndicates) ☐ Yes ☐ No
Money Lending, Pawning ☐ Yes ☐ No

28) Documents Submitted as a proof of identity (POI) & Proof of Address (POA) for PAN

I / We have enclosed as a proof of Identity,

as a proof of address

[please refer to the instructions (as specified in Rule 114 of I.T. Rules, 1962) for list of mandatory certified documents to be submitted as applicable]

PART E - Depository & Bank Account Opening

29) Details To Be Obtained For Opening Depository Account

a) Authorisation

☐ We hereby request Depository Participant viz., 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="text"/>
<input type="checkbox"/> As per resolution	<input type="text"/>
<input type="checkbox"/> Jointly by	<input type="text"/>
<input type="checkbox"/> Others (please specify)	<input type="text"/>

30) Bank Account Information :

☒ 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

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, Master Circular for Foreign Portfolio Investors, 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. 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.

Place : Date :

For and behalf of applicant

Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
Designation (Not applicable to individual persons)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date	<input type="text"/>		
Signature / Left Thumb Impression of Applicant (Inside the box)	<input type="text"/>		

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			
6	IFSC Code			

Documents Received

Risk Category

IN PERSON VERIFICATION CARRIED OUT BYIdentify Verification : ☐ Done

Date

Emp Name _____ Emp Code _____

Emp Designation_____ Emp Branch_____

INSTITUTION DETAILS

Name_____

Code_____

Signature of the Applicant:_____