

ENTITY SELF - CERTIFICATE

Section 1 - Entity Identification

Name of the Entity :	
PAN :	Client Code :
Demat A/c No :	
Nature of business :	(refer Table7. and mention Corresponding Code)
Date of Incorporation :	
Place of Incorporation :	
Country of Incorporation :	
Customer ID :(Mandatory if Customer Id / Number is allotted)	

Entity Constitution Type

<input type="checkbox"/> A - Sole Proprietorship	<input type="checkbox"/> B - Partnership Firm	<input type="checkbox"/> C – HUF
<input type="checkbox"/> D - Private Limited Company	<input type="checkbox"/> E- Public Limited Company	<input type="checkbox"/> F- Society
<input type="checkbox"/> G- AOP/BOI	<input type="checkbox"/> H – Trust	<input type="checkbox"/> I – Liquidator
<input type="checkbox"/> J – Limited Liability Partnership	<input type="checkbox"/> K- Artificial Juridical Person	<input type="checkbox"/> Z – Others
<input type="checkbox"/> X – Not Categorised		

Address

Registered Address	
Number	
Building Name, Street, Locality	
City/Town	
State/Province/County	
Post Code	
Country	
Mailing address (if different from above) :	
Number	
Building Name, Street, Locality	
City/Town	
State/Province/County	
Post Code	
Country	

(a) Identification Type (tick as applicable)

Tax Identification Number (TIN)	<input type="checkbox"/>
Company identification Number	<input type="checkbox"/>
Global Entity Identification Number (EIN)	<input type="checkbox"/>
US GIIN	<input type="checkbox"/>
Other	<input type="checkbox"/>

<p>(a) Identification Number:</p> <p>_____</p> <p>_____</p>	<p>(b) Identification issuing Country:</p> <p>_____</p> <p>_____</p>
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Section 2 – Declaration of Tax residency : (If tax residency is only India, then please skip this section)

Please indicate the Entity’s country of tax residence (if resident in more than one country please detail all countries and associated tax identification number and TIN issuing country).

Country/ies of Tax Residency	Tax Identification number (TIN)/ functional equivalent number	TIN/ functional equivalent number Issuing Country	Document Type# attached (Tax Residence Certificate and/or TIN Card or others)	Date up to which documentary evidence valid

#(Documentary evidence to be provided for foreign country of tax residence and TIN)

Section 3 – Classification of Entity

a) Is the Entity a Financial Institution? (If No, then please skip this section.)

(“Financial institution” means a custodial institution, a depository institution, an investment entity, or a specified insurance company. Please refer Table 1 for terms used herein)

Reporting Financial Institution ?	Yes/No	If Yes Provide GIIN	
Non-reporting financial Institution?	Yes/No	If Yes provide category from Table 3	
Sponsored Investment Entity / Trustee Documented Trust?		If Yes: Name of the Sponsoring Entity / Trustee: GIIN of the Sponsoring Entity / Trustee	
Non- Participating Financial Institution ?	Yes/No		
Owner documented Financial Institution ?	Yes/No	If yes, each controlling person should fill details in Annexure A) (Refer Table 6)	

b) Is the Entity a Non- Financial Entity (NFE):

1. Is it an Active NFE ? (If No, please skip this section.)

Category of Active NFE (Pls provide category from Table4)	
If listed company, name of the stock exchange on which listed:	
If related entity of listed company, name of Companyand name of the stock exchange on which listed:	

2. Is it a Passive NFE ? (If No, please skip this section.)

Category of Passive NFE (please provide category from Table5)	
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Each controlling person of the Passive NFE should fill Controlling Persons details in Annexure A.(please refer Table 6)

3.Is it a Direct Reporting NFE ? (If No,please skip this section.)

GIIN	
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DECLARATION AND UNDERTAKINGS

I / We certify that:

- a) 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.
- b) 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.
- c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company 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.
- d) 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 alongwith documentary evidence.
- e) 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 Company 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 Company if the deficiency is not remedied by us within the stipulated period.
- f) I / We hereby accept and acknowledge that the Company 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 Company.
- g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.

Authorised Signature(s):
Name(s)
Position(s)/Title(s):
Date: (dd/mm/yyyy)
Seal and Stamp of the Entity

*Instructions:

1. All the information mentioned above have to be mandatorily provided.
2. The above Annexure to the account opening form should be signed by all the Authorised Signatories.

ANNEXURE A

Form to be filled in by each of the Controlling Person separately

Details of the Controlling Person :

Name
Father's/Spouse Name
Date of Birth
Gender <input type="checkbox"/> M- Male <input type="checkbox"/> F - Female <input type="checkbox"/> T - Transgender
Occupation Type <input type="checkbox"/> S- service (<input type="checkbox"/> Private sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)
<input type="checkbox"/> O-others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)
<input type="checkbox"/> B – Business <input type="checkbox"/> X- Not categorised
PAN
Customer ID, if allotted: Nationality <input type="checkbox"/> IN – Indian <input type="checkbox"/> Others
Place/City of Birth Country of Birth

Address

Address Type : Residential/Business Residential Business Registered office Unspecified

Line 1 :
Line 2 :
Line 3 :
City/Town/Village : State/UT : Pin Code : Country :

Proof of Identity/Address

(Certified copy of any one of the following needs to be submitted)

A-Passport :	Passport Expiry Date :
B-Voter ID Card :	C-PAN Card :
D-Driving License :	Driving Licence Expiry Date :
E-UID (Aadhaar) :	F-NREGA Job Card
Z-Other	Identification Number

Contact Details

Tel. (Off.) :	Tel. (Res.) :	Mobile :	Fax :
Email ID :			

Controlling Person Type(please refer Table 6) :

In case of legal person :	Ownership	Other means	Senior Managing Official		
In case of legal Arrangement – Trust :	Settlor	Trustee	Protector	Beneficiary	Others
In case of legal Arrangement – Others :	Settlor equivalent	Trustee equivalent	Protector equivalent	Beneficiary equivalent	Others equivalent
Unknown	Unknown				

Please indicate the Country of tax residence (if resident in more than one country please detail all countries and associated tax identification number and TIN issuing country).

Country/ies of Tax Residency	Tax Identification number (TIN)/ functional equivalent number	TIN/ functional equivalent number Issuing Country	Document Type# attached (Tax Residence Certificate and/or TIN Card or others)	Date up to which documentary evidence valid

DECLARATION AND UNDERTAKINGS

I / We certify that :

- a) 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.
- b) 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.
- c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company 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.
- d) 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 alongwith documentary evidence.
- e) 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 Company 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 Company if the deficiency is not remedied by us within the stipulated period.
- f) I / We hereby accept and acknowledge that the Company 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 Company.
- g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.
- j) I / We certify that I/we have the capacity to sign for the Entity as per CBDT rules/SEBI guidelines.

Authorised Signature :

Name :

Position/Title :

Date: (dd/mm/yyyy) :

Seal and Stamp of the Entity

ANNEXURE PROVIDIBG INFORMATION ON THE TERMS USED IN THE SELF-CERTIFICATE

Table 1 - Terms used in the self-certification :

Reporting Financial Institution	a custodial institution, a depository institution, an investment entity, or a specified insurance company which is registered with US IRS and obtained a Global Intermediary Identification Number (GIIN).
Custodial Institution	any entity that holds, as a substantial portion of its business, financial assets for the account of others
Depository Institution	any entity that accepts deposits in the ordinary course of a banking or similar business
Investment Entity any entity that :	(A) primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer, namely:- (i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or (ii) individual and collective portfolio management; or (iii) otherwise investing, administering, or managing financial assets or money on behalf of other persons; (B) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a financial institution.
Specified Insurance Company	Any entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract
Owner Documented Financial Institution	It is a Financial Institution which does not report to the US IRS. Owner documented FI are generally small investment entities.
Direct Reporting Non-Financial Entity	It is a Passive NFE but will not share the details of the controlling persons with the financial institution it maintains accounts with but will report directly to US IRS and so its GIIN should be taken
Related Entity	An entity is a "related entity" of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than fifty per cent. of the votes and value in an entity

TABLE 2 - Exclusions from being treated as Other Reportable Accounts

Sr. No.	Type of Entity
1	a corporation, the stock of which is regularly traded on one or more established securities markets
2	any corporation that is a related entity of a corporation mentioned in item 1
3	a Governmental entity
4	an International organisation
5	a Central bank
6	a financial institution

TABLE 3 - Non-reporting Financial Institution

Sr. No.	Type of Entity
1	a Governmental entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a specified insurance company, custodial institution, or depository institution.
2	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental entity, International Organization or Central Bank;
3	a non-public fund of the armed forces, Employees' State Insurance Fund, a gratuity fund or a provident fund;
4	An Indian investment entity held only by (1) to (3) above
5	a qualified credit card issuer;
6	Specified Investment advisor or investment manager or executing broker
7	Specified exempt collective investment vehicle
8	a financial institution with a local client base
9	a local bank*
10	a financial institution with only low-value accounts
11	sponsored investment entity and controlled foreign corporation
12	Trustee documented trust
13	sponsored closely held investment vehicle, in case of any U.S. reportable account

*Regional Rural Banks constituted under the Regional Rural Bank Act 1976 (21 of 1976), Urban Cooperative Banks constituted under respective State Cooperative Societies Acts or Multi State Cooperative Societies Act, State Cooperative Banks or District Central Cooperative Banks constituted under respective State Cooperative Societies Act and Local Area Banks licensed under the Banking Regulations Act, 1949 (10 of 1949) and regulated and registered as public limited companies under the Companies Act, 1956 (1 of 1956) or Companies Act, 2013 (18 of 2013), that satisfy the requirement under sub-clause (iv) of explanation (O) to Rule 114F(5), shall be treated as local bank.

TABLE 4 - Active NFE

Sr. No.	Category of Active NFE (Indicative, please see the rules for the comprehensive list)
(i)	Less than 50 per cent of the entity's gross income for the preceding financial year is passive income and less than 50 per cent of the assets held by the entity during the preceding financial year are assets that produce or are held for the production of passive income; or
(ii)	The stock of the entity is regularly traded on an established securities market; or; the non-financial entity is a related entity of an entity the stock of which is regularly traded on an established securities market;
(iii)	The entity is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
(iv)	Holding or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a financial institution.
(v)	New non-operating entity (upto 24 months from the date of initial organisation) with the intent to operate a business other than that of a financial institution.
(vi)	Non-financial entity in liquidation or is reorganizing;
(vii)	The Captive financing and hedging company for related entities that are not financial institutions.
(viii)	Prescribed organisation in india for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare satisfying prescribed conditions.
(ix)	An Investor Protection Fund referred to in clause (23EA) of section 10;
(x)	A Credit Guarantee Fund Trust for Small Industries referred to in clause (23EB) of section 10
(xi)	An Investor Protection Fund referred to in clause (23EC), of section 10 of the Act

TABLE 5 - Passive NFE

Sr. No.	Category of Passive NFE
1	Any non-financial entity which is not an active non-financial entity.
2	An investment entity described in sub-clause (B) of clause (c) of the Explanation to clause (3), which is not located in any of the jurisdictions specified by the Central Board of Direct Taxes in this behalf
3	A withholding foreign partnership or withholding foreign trust

TABLE 6 - Controlling Person Type:

Controlling Persons as per RBI Circular No. DBOD.AML.BC.No.71/14.01.001/2012-13 dated 18th January, 2013, SEBI Circular No. CIR/MIRSD/2/2013 issued on the 24th January, 2013.

“A. For clients other than individuals or trusts:

4. Where the client is a person other than an individual or trust, viz., company, partnership or unincorporated association/body of individuals, the intermediary shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the following information:

a. The identity of the 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.

Explanation: Controlling ownership interest means ownership of/entitlement to:

- i. more than 25% 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.

b. In cases where there exists doubt under clause 4 (a) above 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 of the natural person exercising control over the juridical person through other means.

Explanation: Control through other means can be exercised through voting rights, agreement, arrangements or in any other manner.

c. Where no natural person is identified under clauses 4 (a) or 4 (b) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For client which is a trust:

5. Where the client is a trust, the intermediary shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies:

6. Where the client 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, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.

D. Applicability for foreign investors:

7. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client."

TABLE 7 Business codes as per income-tax return form ITR 6

Sr. No.	Sector	Sub-sector	Code
1	Manufacturing Industry	Agro-based industries	0101
		Automobile and Auto parts	0102
		Cement	0103
		Diamond cutting	0104
		Drugs and Pharmaceuticals	0105
		Electronics including Computer Hardware	0106
		Engineering goods	0107
		Fertilizers, Chemicals, Paints	0108
		Flour & Rice Mills	0109
		Food Processing units	0110
		Marble & Granite	0111
		Paper	0112
		Petroleum and Petrochemicals	0113
		Power and energy	0114
		Printing & Publishing	0115
		Rubber	0116
		Steel	0117
		Sugar	0118
		Tea, Coffee	0119
		Textiles, handloom, Power looms	0120
		Tobacco	0121
		Tyre	0122
		Vanaspati & Edible Oils	0123
		Others	0124
2	Trading	Chain Stores	0201
		Retailers	0202
		Wholesalers	0203
		Others	0204

3	Commission Agents	General Commission Agents	0301P
4	Builders	Builders	0401
		Estate Agents	0402
		Property Developers	0403
		Others	0404
5	Contractors	Civil Contractors	0501
		Excise Contractors	0502
		Forest Contractors	0503
		Mining Contractors	0504
		Others	0505
6	Professionals	Chartered Accountants, Companies Secretaries, etc	0601
		Fashion designers	0602
		Legal professionals	0603
		Medical professionals	0604
		Nursing Homes	0605
		Specialty hospitals	0606
		Others	0607
7	Service Sector	Advertisement agencies	0701
		Beauty Parlours	0702
		Consultancy services	0703
		Courier Agencies	0704
		Computer training/educational and coaching institutes	0705
		Forex Dealers	0706
		Hospitality services	0707
		Hotels	0708
		I.T. enabled services, BPO service providers	0709
		Security agencies	0710
		Software development agencies	0711
		Transporters	0712
		Travel agents, tour operators	0713
		Others	0714
8	Financial Service Sector	Banking Companies	0801
		Chit Funds	0802
		Financial Institutions	0803
		Financial service providers	0804
		Leasing Companies	0805
		Money Lenders	0806
		Non-Banking Finance Companies	0807
		Share Brokers, Sub-brokers, etc.	0808
		Others	0809
9	Entertainment Industry	Cable T.V. productions	0901
		Film distribution	0902
		Film laboratories	0903
		Motion Picture Producers	0904
		Television Channels	0905
		Others	0906