

Part - A

EDEL Investments Limited

Application No. _____



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Name of the document	Brief Significance of the document	Section	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
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	B. Document captures the additional information about the constituent relevant to the trading account and an instruction/checklist.	PART A	6
	C. Extended KYC for FATCA/CRS for Entities/Non-Individuals	PART A	13
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Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	8
Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	PART B	1
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Registered Office Address: 2nd Floor, MB Towers, Plot No 5, Road No 2, Banjara Hills, Hyderabad – 500034 (Telangana) Contact No.: +91 40 40316900 Website: https://eil.edelweissfin.com/			
Corporate Office Address: Edelweiss House, Off CST Road, Kalina, Mumbai - 400098, Contact No.: +91 22 40094400.			
Compliance Officer Name, Phone No. & Email ID: Mr. Dushyant Patadiya, +91 22 40094400, complianceofficer.eil@edelweissfin.com			
Designated Director Name, Phone No. & Email ID: Mr. Vipin Kumar Gawande, +91 22 40094400, Vipin.Gawande@edelweissfin.com			
CIN	U65923TG2009PLC112586	For any grievance/dispute please contact Edel Investments Limited at the above address or email id of the Compliance Officer and for escalation, you may write to us at Vipin.Gawande@edelweissfin.com . In case not satisfied with the response, please contact the concerned exchanges BSE at is@bseindia.com and Phone no. 022 2272 8097 and NSE at ignse@nse.co.in and Phone No. 022 2659 8190	
SEBI Reg. No.	INZ000173431		
NSE Mem. No.	90168		
BSE Mem. No.	4047		
AMFI Reg. No.	247356		

KNOW YOUR CLIENT (KYC) APPLICATION FORM

We request you to open a trading account in our name as per the following details:

IDENTITY DETAILS	Please fill this form in ENGLISH and in BLOCK LETTERS
NAME OF THE APPLICANT	
DATE OF INCORPORATION	
PLACE OF INCORPORATION	
DATE OF COMMENCEMENT OF BUSINESS	
PAN (PLEASE ATTACH A COPY OF PAN CARD)	
REGISTRATION NO. (e.g., CIN)	
STATUS (PLEASE TICK ANY ONE)	<input type="checkbox"/> PVT. LTD. CO. <input type="checkbox"/> PUBLIC LTD. CO. <input type="checkbox"/> PARTNERSHIP FIRM <input type="checkbox"/> TRUST <input type="checkbox"/> LLP <input type="checkbox"/> HUF <input type="checkbox"/> CHARITIES <input type="checkbox"/> NGO <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> BANK <input type="checkbox"/> AOP <input type="checkbox"/> GOVERNMENT BODY <input type="checkbox"/> NON-GOVERNMENT ORGN. <input type="checkbox"/> BOI <input type="checkbox"/> SOCIETIES <input type="checkbox"/> OTHER _____ (SPECIFY)
ADDRESS DETAILS	
REGISTERED ADDRESS (INCLUDING CITY, STATE, COUNTRY AND PIN CODE)	
CORRESPONDENCE ADDRESS (INCLUDING CITY, STATE, COUNTRY AND PIN CODE)	
CONTACT DETAILS	
TELEPHONE NO.	
FAX NO.	
MOBILE NO.	
EMAIL ID.	

OTHER DETAILS

Name, PAN, Residential Address, DIN/UID, Photograph of Promoters/Partners/Karta/Trustees/Whole time Directors/Authorised Signatory

1.

NAME		<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: auto;">Signature across photograph</div>
PAN		
DIN		
UID	XXXXXXXX	
ADDRESS		
EMAIL ID		
MOBILE NO.		

2.

NAME		<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: auto;">Signature across photograph</div>
PAN		
DIN		
UID	XXXXXXXX	
ADDRESS		
EMAIL ID		
MOBILE NO.		

3.

NAME		<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: auto;">Signature across photograph</div>
PAN		
DIN		
UID	XXXXXXXX	
ADDRESS		
EMAIL ID		
MOBILE NO.		

4.

NAME		<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: auto;">Signature across photograph</div>
PAN		
DIN		
UID	XXXXXXXX	
ADDRESS		
EMAIL ID		
MOBILE NO.		

Note: If there are more than 4 promoters/directors/partners involved, please attach a separate sheet with all details required.

Note: Please provide the Name, PAN, Residential Address, DIN/UID, Photograph of persons authorized to deal in securities on behalf of the authorized company / Firm / Others separately on the letter head of the Company/Organization

TRADING ACCOUNT RELATED DETAILS

BANK DETAILS		DEPOSITORY DETAILS		
BANK NAME		BENEFICIARY NAME		
BRANCH				
ACCOUNT NO.		DEPOSITORY	<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL
ACCOUNT TYPE		DP NAME		
MICR		DP ID		
IFSC CODE		CLIENT ID		
COMMUNICATION DETAILS	Mode of Receipt of Contract Notes	<input type="checkbox"/> PHYSICAL <input type="checkbox"/> ECN		
	Alerts from Stock Exchange	<input type="checkbox"/> NO ALERTS <input type="checkbox"/> SMS		
INTRODUCER DETAILS	NAME:			
	<input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Other			
ONLINE TRADING	Do you wish to avail Internet Trading Facility	<input type="checkbox"/> YES <input type="checkbox"/> NO		
INVESTMENT/TRADING EXPERIENCE	<input type="checkbox"/> No Experience _____ (Yrs) Stocks _____ (Yrs) Derivatives _____ (Yrs) Other Inv.			
PEP STATUS	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)			
PAST ACTIONS <input type="checkbox"/> YES <input type="checkbox"/> NO (If yes please specify)	Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:			
GROSS ANNUAL INCOME DETAILS (Previous 3 years)	Year 1	<input type="checkbox"/> Below ₹ 1 Lac, <input type="checkbox"/> ₹25Lacs-1 Cr	<input type="checkbox"/> ₹1 - 5 Lac, <input type="checkbox"/> Above ₹ 1 crore	<input type="checkbox"/> ₹ 5 - 10 Lac <input type="checkbox"/> ₹10-25 Lac,
	Year 2	<input type="checkbox"/> Below ₹ 1 Lac, <input type="checkbox"/> ₹25Lacs-1 Cr	<input type="checkbox"/> ₹1 - 5 Lac, <input type="checkbox"/> Above ₹ 1 crore	<input type="checkbox"/> ₹ 5 - 10 Lac <input type="checkbox"/> ₹10-25 Lac,
	Year 3	<input type="checkbox"/> Below ₹ 1 Lac, <input type="checkbox"/> ₹25Lacs-1 Cr	<input type="checkbox"/> ₹1 - 5 Lac, <input type="checkbox"/> Above ₹ 1 crore	<input type="checkbox"/> ₹ 5 - 10 Lac <input type="checkbox"/> ₹10-25 Lac,
NET WORTH DETAILS (Not older than 1 year)		As on Date		
TRADING PREFERENCES				
Exchanges	NSE and BSE			
All Segments	Cash / Mutual Fund	F&O	Currency	Debt
X Sign Here	X Sign Here	X Sign Here	X Sign Here	X Sign Here

*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Please specify the proof submitted to avail the privileges to trade in the derivatives segment:

_____.

INSTRUCTIONS/CHECKLIST FOR FILLING KYC FORM

IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. For foreign entities, CIN is optional and in the absence of DIN number for the directors, there passport copy should be given.
7. 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.
8. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted
9. Demat master or recent holding statement issued by DP bearing name of the client
10. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
11. Form need to be initialized by all the authorized signatories.
12. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures

Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

Exemptions/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

List of people authorised to attest the documents:

Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and 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.
2. I / We have read and understood the Anti Money laundering provisions and hereby further confirm/undertake that the investments/trading done in the securities market are from my own/borrowed sources of funds and I/we confirm that the funds utilized for trading activity by me/us are in compliance with the rules, regulations, and guidelines stipulated under PMLA.
3. I/we have read and agree to be bound by the Rules, Regulations, bye-laws, circulars, and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository, and Depository Participant pertaining to my trading and demat account, as are in force from time to time.
4. I/We understand that the Stockbroker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required

First Signatory	Second Signatory	Third Signatory	Fourth Signatory
<hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Name: Date:	<hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Name: Date:	<hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Name: Date:	<hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Name: Date:

FOR OFFICE USE ONLY

(Originals verified) and Self –Attested Document copies received.

UCC Code allotted to the Client: _____

In-Person-Verification (IPV) details:

Name of the Person doing IPV _____

Signature of the Person doing IPV: _____

Designation & Emp. Code: _____

D	D	M	M	Y	Y	Y	Y
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I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non- mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Name and Signature of Authorised Signatory: _____

CLIENT REGISTRATION FORM - MUTUAL FUND

BSE StAR MF Client Registration Form

I/We am/are registered as your client with Client Code No (UCC) _____ for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange) / BSE Ltd.

- I/We am/are interested in availing the BSE StAR MF facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF of the Exchange.
- For the purpose of availing the BSE StAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.
- I/We are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 (NSE) / December 02, 2009 (BSE) and as may be specified by the Exchange from time to time in this regard.
- I/We shall ensure also compliance with the requirements as may be specified from time to time the by Securities and Exchange Board of India (SEBI) and the Association of Mutual Funds of India (AMFI).
- I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.
- I/We, therefore, request you to register me/us as your client for participating in the BSE StAR MF.
- I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

Thanking you,

Yours faithfully

Authorised Signatory

Details of terms & conditions for the Investor / Client for using the BSE StAR MF platform

1. Pre-requisites for becoming Investor / Client for the BSE STAR MF platform.

- 1.1 The client is desirous of investing in units of mutual fund schemes through the BSE STAR MF.
- 1.2 The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant/ the broker who is a Mutual fund Intermediary (MFI) of the BSE STAR MF platform.
- 1.3 The client has satisfied itself with the capacity of the Participant/MFI to deal in Mutual Fund units and wishes to execute its instruction through the Participant/MFI and the client shall from time to time continue to satisfy itself of such capability of the Participant/MFI before executing transacting through the Participant/MFI.
- 1.4 The Client has approached to the Participant/MFI with the application for availing the BSE STAR MF platform.
- 1.5 The client has submitted relevant KYC (Know Your Client) details to the Participants/MFIs.

2. Terms & Conditions

- 2.1 The client shall be bound by circulars/notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL since 2009 onwards and circulars issued thereafter and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2 The client shall notify the Participant/MFI in writing if there is any change in the information in the client registration form' provided by the client to the Participant/MFI at the time registering as a client for participating in the New MFSS/ STAR MF platform or at any time thereafter.
- 2.3 The client shall submit to the Participant/MFI a completed application form in the manner prescribed format for the purpose of placing a order with the Participant/MFI.
- 2.4 The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5 The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6 The client shall ensure continuous compliance with the requirements of NSEIL/BSE, SEBI and AMFI.
- 2.7 The Client shall pay to the Participant/MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant/MFI renders to the Client.
- 2.8 The client will furnish information to the Participant/MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9 In the event of non-performance of the obligation by the Participant/MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL).
- 2.10 In case of any dispute between the Participants/MFIs and the investors arising out of the MFSS facility/ BSE STAR MF platform, NSEIL/BSE and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

3. Disclosure

- 3.1 As per SEBI circular: SEBI/IMD/CIR No. 4/168230/09, the following are the details of the comparative commission earned by Edel Investments Limited (AMFI Reg. No. 247356) from various fund-houses, whose products are being distributed.

Fund Schemes	Upfront Brokerage/Upfront Commission	Trail year 1	Trail year 2 onward
Equity and Balanced	0% to 1.25%	0% to 1%	0% to 1%
Index	0% to 1%	0% to 0.75%	0% to 0.75%
ELSS	0% to 2%	0% to 0.75%	0% to 0.75%
Asset Allocation	0% to 1.5%	0% to 1%	0% to 1%
Arbitrage Funds	0% to 1%	0% to 1%	0% to 0.5%
Monthly Income Plans	0% to 1.5%	0% to 1%	0% to 0.5%
Gilt	0% to 1%	0% to 1%	0% to 0.5%
Income	0% to 1.5%	0% to 1%	0% to 1%
Short Term	0% to 0.05%	0% to 0.50%	0% to 0.50%
Liquid & Floating Rate	0% to 0.05%	0% to 0.50%	0% to 0.50%

- 3.2 The above Schedule of Commissions is subject to change, without any prior consent and at the sole discretion and agreement between Edel Investments Limited and the respective Mutual Fund houses.
- 3.3 Edel Investments Limited could also get reimbursements towards promotion and marketing-related activities conducted by Edel Investments Limited on behalf of AMCs. These reimbursements are event based and the same may or may not be received from AMCs in a particular period. Further, since such activities may be carried out at AMC level, reimbursement amount received cannot be attributed to any specific scheme being offered by such AMC.
- 3.4 This is on a best effort basis and rates are updated as and when actual rates are received from AMCs.
- 3.5 The above Schedule of Commissions is as of 1st December 2022. It is subject to change, without any prior consent and at a sole discretion and agreement between Edel Investments Limited and the respective Mutual Fund houses.

Declaration I am fully aware that

- I would need to keep clear balances in my client account/DP accounts for the transaction to be processed.
- I have understood the terms and conditions attached herewith and agreed to the same.
- I have understood Edel Investments Limited will place my order on a best-effort basis.
- Mutual Fund investments are subject to market risk, please read the Statement of Additional Information (SAI)/Offer document (OD)/Scheme Information Document (SID) carefully before investing.

Name : _____ **Signature :** _____

Place : _____ **Date :** _____

EDEL INVESTMENTS LIMITED

Corporate office address: Edelweiss House, Off CST Road, Kalina, Mumbai - 400098, Maharashtra. Contact No.: +91 22 40094400. Website: <https://eil.edelweissfin.com/>

FATCA, CRS, ULTIMATE BENEFICIAL OWNERSHIP (UBO) AND ADDITIONAL KYC (Details and Self Certification form for Non-Individuals)

Please read all the instructions carefully before filling the form
 *Please fill in ENGLISH and in BLOCK LETTERS with black ink
 Please consult your professional tax advisor for further guidance on FATCA & CRS classification
 Fields marked with (*) are mandatory and if not filled, the form is liable for rejection

Request ID	
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I. *Entity Details: (please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name)

Client Code		PAN	
Entity Name			

II. * Additional KYC information:

1. **Gross Annual Income Details** please tick (✓) Below 1 Lac 1-5 Lac > 5 - 10 Lac > 10- 25 Lac > 25 Lacs-1 Crore > 1 crore
2. **Net-worth in ₹.** _____ as on (date) ____/____/____ (not older than 1 year)
3. **Source of Wealth** (please tick (✓) any one) : Business Income Gift Ancestral Property Rental Income Prize Money Royalty
 Others (please specify) _____
4. **Occupation** (please tick(✓) any one): Business Service Others (please specify) _____
5. **Is the entity involved/providing any of the following services** please tick(✓)
 -Foreign Exchange / Money Changer Services : YES NO
 -Money Lending / Pawning : YES NO
 -Gaming / Gambling/ Lottery Services(e.g. casinos, betting syndicates) : YES NO
6. **Politically Exposed Person (PEP) Status*** (please tick(✓) anyone : (Also applicable for authorised signatories/Promoters/ Karta/ Trustee/ Wholetime Directors)
 I am a PEP I am related to PEP Not Applicable
*PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of Stat military officers, senior executives of state owned corporations, important political party officials, etc.
7. **Type of address given at KRA** (please tick(✓) any one) : Residential or Business Residential Business Registered Office

III. * FATCA & CRS declaration: (Please tick (✓) the appropriate tax resident declaration)

City of Incorporation	Date of Incorporation	Country of Incorporation
Entity Constitution Type <small>please tick(✓) as appropriate</small>	<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership Firm <input type="checkbox"/> HUF <input type="checkbox"/> Pvt. Ltd. Company <input type="checkbox"/> Public Ltd. Company <input type="checkbox"/> Society <input type="checkbox"/> AOP/BOI <input type="checkbox"/> Liquidator <input type="checkbox"/> Trust <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Artificial Juridical Person <input type="checkbox"/> Others _____	
Is 'Entity' a tax resident of any country other than India? <input type="radio"/> YES <input type="radio"/> NO		
<small>(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below:)</small>		
S.No	Country of Tax Residency	Tax Identification Number
1.		
2.		
3.		

% - In case Tax Identification Number is not available, kindly provide its functional equivalent^s
 In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation/Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here <small>(refer 3(viii) of Part C)</small>	
Account holder type for Us Reportable Person <small>(Refer 3(ix) of Part C)</small>	
Account holder type for other Reportable Person <small>(Refer 3(ix) of Part C)</small>	

Part A: (to be filled by Financial Institutions or Direct Reporting NFEs) N.A. (Please tick (✓) if not applicable)

We are a, <input type="checkbox"/> Financial Institution (Refer 1 of Part C) <input type="checkbox"/> Participating FFI <input type="checkbox"/> Reporting Model 1 FFI (IGA 1 environment) <input type="checkbox"/> Reporting Model 2 FFI (IGA 2 environment) or <input type="checkbox"/> Direct reporting NFE (Refer 3(vii) of Part C) please tick (✓) as appropriate	GIIN: _____ Note: If you do not have a GIIN but you are sponsored by an other entity, please provide your sponsor's GIIN above and indicate your sponsor's name below: Name of the Sponsoring entity: _____
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GIIN not available please tick(✓) as appropriate Applied For Non participating FFI Non reporting FFI
 Not required to apply for - please specify 2 digits of sub-category ____ (Refer 1A of Part C)

Part B: (Please tick (✓) and fill any one as appropriate, to be filled by NFEs other than Direct Reporting NFEs) N.A.

<input type="radio"/>	Is the Entity a publicly traded company? <small>(that is, a company whose shares are regularly traded on an established securities market) (Refer 2A of Part C)</small>	(Please specify any one stock exchange where it is regularly traded) Name of the Stock Exchange _____
<input type="radio"/>	Is the Entity a related entity of a publicly traded company? <small>(a company whose shares are regularly traded on an established securities market) (Refer 2B of Part C)</small>	(Please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of the listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the listed company (OR) <input type="checkbox"/> Controlled by a Listed Company Name of the Stock Exchange _____
<input type="radio"/>	Is the Entity an Active NFE? <small>(Refer 2C of Part C)</small>	Specify the nature of business and provide UBO form Nature of Business: _____ Please specify the sub-category of Active NFE <input type="checkbox"/> (Mention Code - Refer 2C of Part C)
<input type="radio"/>	Is the Entity a Passive NFE? <small>(Refer 3(ii) of Part C)</small>	Specify the nature of business and provide UBO form Nature of Business: _____

*Declaration for Ultimate Beneficial Ownership (UBO)

(Mandatory for all entities EXCEPT, Publicly Traded Company or a related entity of Publicly Traded Company)

Category (please tick applicable category):

<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership	<input type="checkbox"/> Unincorporated Association/Body of Individuals	<input type="checkbox"/> Religious Trust
<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Private Trust / Trust created by a Will	<input type="checkbox"/> Others _____		

Details of Ultimate Beneficial Owners:- (Please list below each controlling person, confirming ALL countries of Tax Residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person. (Please attach additional sheets if necessary)
Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UB01	UB02	UB03
PAN#			
Name of UBO			
Residential Status	<input type="checkbox"/> Res. Ind. <input type="checkbox"/> NRI <input type="checkbox"/> Foreign National <input type="checkbox"/> Others _____	<input type="checkbox"/> Res. Ind. <input type="checkbox"/> NRI <input type="checkbox"/> Foreign National <input type="checkbox"/> Others _____	<input type="checkbox"/> Res. Ind. <input type="checkbox"/> NRI <input type="checkbox"/> Foreign National <input type="checkbox"/> Others _____
UBO Code (Refer 3(iv) A of Part C)			
Customer ID (If any with Edel Investments Limited)			
Percentage of Holding (%) ^s			
Address	ZIP/PIN Code : _____ State : _____ Country : _____	ZIP/PIN Code : _____ State : _____ Country : _____	ZIP/PIN Code : _____ State : _____ Country : _____
Address Type	<input type="radio"/> Residence <input type="radio"/> Business <input type="radio"/> Registered Office	<input type="radio"/> Residence <input type="radio"/> Business <input type="radio"/> Registered Office	<input type="radio"/> Residence <input type="radio"/> Business <input type="radio"/> Registered Office
Telephone	ISD STD NUMBER	ISD STD NUMBER	ISD STD NUMBER
Mobile	ISD NUMBER	ISD NUMBER	ISD NUMBER
Are you a US person ?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Country of Tax Residency*			
Tax ID ⁶			
Tax ID Type (TIN or Other, please specify)			
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
City of Birth			
Country of Birth (Mandatory)			
Nationality			
Citizenship			
Gender	<input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> Others	<input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> Others	<input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> Others
Father's Name			
Occupation	<input type="radio"/> Service <input type="radio"/> Business <input type="radio"/> Professional <input type="radio"/> Agriculturist <input type="radio"/> Retired <input type="radio"/> Housewife <input type="radio"/> Student <input type="radio"/> Doctor <input type="radio"/> Private Sector <input type="radio"/> Public Sector <input type="radio"/> Forex Dealer <input type="radio"/> Government <input type="radio"/> Others _____	<input type="radio"/> Service <input type="radio"/> Business <input type="radio"/> Professional <input type="radio"/> Agriculturist <input type="radio"/> Retired <input type="radio"/> Housewife <input type="radio"/> Student <input type="radio"/> Doctor <input type="radio"/> Private Sector <input type="radio"/> Public Sector <input type="radio"/> Forex Dealer <input type="radio"/> Government <input type="radio"/> Others _____	<input type="radio"/> Service <input type="radio"/> Business <input type="radio"/> Professional <input type="radio"/> Agriculturist <input type="radio"/> Retired <input type="radio"/> Housewife <input type="radio"/> Student <input type="radio"/> Doctor <input type="radio"/> Private Sector <input type="radio"/> Public Sector <input type="radio"/> Forex Dealer <input type="radio"/> Government <input type="radio"/> Others _____

- If UBO is KYC compliant, KYC proof to enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

* - To include US, where controlling person is a US citizen or green card holder

% - In case Tax Identification Number is not available, kindly provide functional equivalent

\$ - Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

FATCA - CRS Terms and Conditions

1. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case of any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may held liable for it.
2. I/we understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/ FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on me applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Brokers shall be required to comply to report, reportable details to CBD Tor close or suspend my/our account.
3. Under Penalty of perjury, I/We certify that
 - a. The numbers shown on this form is the correct taxpayer identification number of the applicant, and
 - b. The applicant is (i) an applicant taxable as US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
 - c. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

Authorized Signatory(ies) [with Company/Trust/Firm/Body Corporate seal/stamp]

Name : _____	Name : _____	Name : _____
Designation : _____	Designation : _____	Designation : _____
Signature : _____	Signature : _____	Signature : _____

Date _____ / _____ / _____

Place _____

PART C: FATCA Instructions & Definitions

1. Financial Institution

The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-
 - (i) The three financial years preceding the year in which determination is made; or
 - (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:
 - ✓ That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
 - (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) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or

✓ 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 depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :

- (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- (ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 (refer point 2C.)

- Specified Insurance Company: 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.

- FI not required to apply for GILN:

A. Reasons why FI not required to apply for GILN:

Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	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
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

A. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets

(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

B. Related entity of a publicly traded company

The NFE is a related entity of an entity of which is regularly traded on an established securities market;

C. Active NFE : (is any one of the following):

Code	Sub-Category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE that fulfills all of the following requirements: <ul style="list-style-type: none"> • It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; • It is exempt from income tax in India; • It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof. Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:- (I) an Investor Protection Fund referred to in clause (23EA); (II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and (III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

3. Other Definitions (including UBO)

(i) 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 50% of the votes and value in an entity.

(ii) Passive NFE

The term passive NFE means

- (1) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or
- (2) an investment entity defined in clause (b) of these instructions
- (3) a withholding foreign partnership or withholding foreign trust;

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income includes income by way of :

- (1) Dividends,
- (2) Interest
- (3) Income equivalent to interest,
- (4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE
- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

(iv) UBO/Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means '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 of / entitlements to:

- (1) More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- (2) More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- (3) 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.

Where the client is a trust, the financial institution 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.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) UBO Code/Type Code of the Controlling Person:

Code	Sub-Category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-other equivalent
14	Unknown

(v) Specified U.S. person – A U.S. person other than the following:

- (1) a corporation the stock of which is regularly traded on one or more established securities markets;
- (2) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (3) the United States or any wholly owned agency or instrumentality thereof;
- (4) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (5) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (6) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (7) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (8) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (9) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (10) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (11) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (12) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (13) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non-participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

(vii) Direct reporting NFE

A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

(viii) Exemption code for U.S. persons

Code	Sub-Category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan

4. Additional KYC Details

- 1 The entity is required to provide all the information sought under the Additional KYC details mandatorily.