



J.P Morgan Chase Bank, N.A., India Branches

**Process of claiming the unclaimed deposit /
activating inoperative account**

March 2025

Process of claiming the unclaimed deposit / activating the inoperative account

In order to reactivate an inoperative account, customer will have to provide fresh Know Your Customer (KYC) document, along with the relevant documents as listed below. This is an indicative list of documents and is subject to change as per the applicable regulations issued from time to time. Please reach out to your relationship manager or client service representative if you have questions.

- Annexure 1 – List of Documents for KYC
- Annexure 2 – Self-Certification Form CRS – E
- Annexure 3 – Form W-8BEN-E
- Annexure 4 - Know Your Customer (KYC) Application Form (Legal Entity/ Other than Individuals)
- Annexure 5 - Know Your Customer (KYC) Application Form (Related Persons)
- Annexure 6 – LEI Instructions

In order to claim a refund on an unclaimed deposit including outstanding demand drafts transferred to Depositor Education and Awareness Fund (DEAF) , customer will have to also provide the following request letter.

- Annexure 7 – DEAF refund – claim letter

Requirements

Documents for Know Your Customer (KYC)

No.	Document
1	<p><u>Ownership Structure</u></p> <p>- Please provide a certified full ownership chart with %, up to the ultimate parent company entity, and including any/ all shareholders / Ultimate Beneficial Owner(s) (UBOs) of 10% or more. (Where no natural person is identified above, then the person holding Senior managing official in the entity becomes the BO. Example : Senior Official such as C-suite individuals. Additionally then we would require PAN / Adhaar / Financial Status like estimated Networth document of Senior managing official / UBO will be required)</p>
2	<u>List of Directors - Please confirm if we can utilize from MCA ?</u>
3	<u>List of Senior Managers - Please provide a list of Senior Managers</u>
4	<p><u>PAN Card</u></p> <p>- Please certify the document following below guidelines</p>
5	<p><u>Certificate of Incorporation</u></p> <p>- Please certify the document following below guidelines</p>
6	<p><u>Memorandum and Articles of Association</u></p> <p>- Please certify the document following below guidelines</p>
7	<p><u>Board Resolution</u></p> <p>- Please provide a BR Certified by Company Secretary or 2 Directors or Signatories</p>
8	<p><u>Signatories KYC Document</u></p> <p><u>For Indian nationals: PAN + Any 1 of Adhaar/Passport/Driving License + Latest Photo + Specimen Signatures</u></p> <p><u>OR</u></p> <p><u>For Foreign Nationals:</u></p> <p><u>1) Passport (containing address) / Driving License (containing address) or Passport/Driving License + Utility Bill not older than 2 months (notarized by public notary)</u></p> <p><u>2) Kindly confirm over email that these signatories do not have any PAN nor taxable income in India requiring such person to obtain a PAN and/or have not entered into transactions covered in Rule 114B in India.</u></p>
9	<u>CRS & W8BENE Forms</u>

10	<u>CKYC forms</u> - Required for both entity and Individuals (all Authorized signatories & UBO)
11	<p><u>Request you to please provide response to below queries as these can be closed via email confirmation:</u></p> <ul style="list-style-type: none"> - Registered address – Kindly confirm if the registered address on MCA is valid to be considered in our records - Physical Address: Please confirm over email that the registered address and physical address are the same. In case if the physical address is different, we will require the evidence for the same. (e.g. GST certificate/utility bill within 2 months) - Mailing Address - Please confirm if there is any other mailing address apart from Registered / Physical Address
Certification Guidelines*	
<p>Company documents need to be certified by “Any whole time Director OR Company Secretary OR individuals authorized by Board Resolution” and should include the following-</p> <ol style="list-style-type: none"> I. A sentence such as “I certify this is a true copy of the original / Certified True Copy” or language to that effect b. Signature of the certifier c. Full name of certifier d. Job role / Professional title e. Date of certification <p>Individuals KYC documents to be OSV'd by JPMC Employee . If foreign Nationals then we can accept Notarized documents or OSV'd by JPMC Employee of that location.</p>	

Entity Tax Residency

Self-Certification Form CRS - E

December 2016

Please read these instructions before completing the form.

Regulations based on the Organisation for Economic Cooperation and Development ("OECD") Common Reporting Standard ("CRS") require Financial Institutions ("FIs") to collect and report certain information about an account holder's tax residency. If the account holder's tax residence is located outside the country where the FI maintaining the account is located, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the tax authorities in the country where the FI is located and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.



J.P.Morgan

How to complete this form

Who should complete this form?

Please complete this form where you need to self-certify on behalf of an entity account holder.

- If you are an individual account holder or sole trader or sole proprietor do not complete this form. Instead please complete an "Individual tax residency self-certification form".
- For joint or multiple account holders please complete a separate form for each account holder.

If the Account Holder is a U.S. tax resident under U.S. law, you should indicate that you are a U.S. tax resident on this form and you also need to complete and provide an IRS W-9 form. For more information on tax residence, please consult your tax adviser or the information at the following link: [OECD automatic exchange of information portal](http://www.oecd.org/tax/automatic-exchange/).¹

Where the Account Holder is a Passive Non Financial Entity ("NFE"), or an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution: Please provide information on the natural person(s) who exercise control over the Account Holder (individuals referred to as "Controlling Person(s)") by completing a "Controlling Person tax residency self-certification form" for each Controlling Person. This information should be provided by all Investment Entities located in a Non-Participating Jurisdiction managed by another FI.

You should indicate the capacity in which you have signed in Part 4 (e.g., as custodian or nominee of an account on behalf of the account holder, or under a signatory authority or power of attorney).

¹ <http://www.oecd.org/tax/automatic-exchange/>

Understanding the Terminology

You can find summaries of defined terms such as an "Account Holder", entity classifications such as "Financial Institution" and "International Organisation" and other terms, in the Appendix.

For additional information on overcoming common form rejection reasons please refer to the following link <https://www.jpmorgan.com/directdoc/assist-completion-CRS-self-certification.pdf>

Validity of form and No Tax Advice notice

This form is intended to request information consistent with local law requirements.

This form will remain valid unless there is a change in circumstances relating to information, such as the Account Holder's tax status or other mandatory field information that makes the form incorrect or incomplete. In that case you must notify us and provide an updated self-certification.

As a financial institution, we are not allowed to give tax advice. Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status.

More information on the rules

You can find out more information, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal at <http://www.oecd.org/tax/automatic-exchange/>.

Mandatory fields are marked with *

Entity tax residency self-certification form (CRS – E)

Please complete parts 1-3 by typing the details into the form or using BLOCK CAPITALS if completing by hand. Mandatory fields are marked with *.

Part 1 - Identification of the Account Holder

A: Legal Name of Entity/Branch*

B: Country of incorporation or organisation*

C: Current Residence Address*

Line1 House/Apt/Suite, Name, Number, Street

Line 2 Town/City/, Province/County/State

Country

Postal Code/Zip Code

D: Mailing Address (please only complete if different from your current residence address above)

Line1 House/Apt/Suite, Name, Number, Street

Line 2 Town/City/, Province/County/State

Country

Postal Code/Zip Code

Part 2* - Entity Type

Please classify the Account Holder by selecting one of the following. Further information on definitions can be found in the Appendix.

Entity Type*

- A Financial Institution - Investment Entity
- (i.) An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution ☐
- (ii.) Other Investment Entity ☐
- B Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company ☐
- C Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation ☐
- D Active NFE – a Government Entity or Central Bank ☐
- E Active NFE – an International Organisation ☐
- F Active NFE – other than C–E ☐
- G Passive NFE ☐

Please provide additional required information depending on your entity type above.

Additional Entity Information

- | Entity Type | Information needed |
|-------------|--|
| A or B | <p>If you have selected A or B above, please provide, if held, the Account Holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes.</p> <p>_____</p> |
| C | <p>If you have selected C, please provide the name of the established securities market on which the corporation is regularly traded:</p> <p>If you are a Related Entity of a regularly traded corporation, please provide the name of that regularly traded corporation: The Entity classified as C is a Related Entity of _____.</p> |
| A (i.) or G | <p>Controlling Persons of Passive NFEs</p> <p>Please indicate the name of any Controlling Person(s) of the Account Holder*</p> |

Please complete a "*Controlling Person tax residency self-certification form*" for each Controlling Person.*

Note: Please see definition of Controlling Person in Appendix. If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official.

Part 3* - Country of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent* (“TIN”) (see Appendix)

Please complete the following table indicating:

- (i) where the Account Holder is tax resident, and
- (ii) the Account Holder’s TIN for each country indicated.

Please note:

- If the Account Holder is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or country in which its principal office is located.
- If the Account Holder is tax resident in more than three countries please use a separate sheet.
- If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

Reason A:

The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents

Reason B:

The Account Holder is otherwise unable to obtain a TIN or equivalent number.

Please explain why you are unable to obtain a TIN in the table below if you have selected this reason.

Reason C:

No TIN is required.

Please only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such country/jurisdiction

Country/Jurisdiction of tax residence	TIN	If no TIN available enter Reason A,B or C
1		
2		
3		
Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.		
1		
2		
3		

Part 4*

Declaration and Signature

The Account Holder understands that the information supplied by it is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with the Financial Institution setting out how the Financial Institution may use and share the information supplied by the Account Holder.

The Account Holder acknowledges that the Financial Institution may disclose and transfer to the Financial Institution's parent companies, and its and their respective branches, subsidiaries, affiliates, representative offices, or third party service providers located anywhere in the world (in or outside the country or jurisdiction in which the Account Holder resides, in which their relationship with the Financial Institution is maintained, in which the account or transaction is booked, in which information is collected and/or retained or in which the transaction is conducted) the information contained in this form and other information regarding the Account Holder, any Controlling Person and any Reportable Account(s) when considered necessary by the Financial Institution for its business purposes or in connection with, to comply with, or to facilitate compliance with, any law, regulation, court order or requirement (including under any code, guideline, standard, policy, circular or notice) of a governmental, regulatory, supervisory, law enforcement, prosecuting, tax or similar authority or industry body in any jurisdiction existing currently or in the future, or for the purposes of ongoing cooperation with such governmental, regulatory and/or statutory authority, or to comply with any agreement or arrangement with such authority or between such authorities in any jurisdiction existing currently or in the future. The Account Holder consents to and instructs and authorizes the Financial Institution to make such disclosures and transfers and expressly waive any protection or right under data protection, confidentiality, or any other applicable law, to the extent necessary for such disclosures and transfers.

The Account Holder acknowledges that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

The Account Holder declares that all statements made in this declaration are, to the best of its knowledge and belief, correct and complete.

The Account Holder undertakes to advise the Financial Institution, within 90 days of any change in circumstances which affects the tax residency status of the Account Holder identified in Part 1 of this form or causes the information contained herein to become incorrect or incomplete (including any changes to the information on controlling persons identified in Part 2 question 2a), and to provide the Financial Institution that maintains the account with a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

Signature:*

Print name:*

Date: (dd/mm/yyyy)

Capacity*

Please indicate the capacity in which you are signing the form (for example 'Authorised Officer').

If signing under a power of attorney please also attach a certified copy of the power of attorney.

Appendix – Summary Descriptions of Select Defined Terms

Note: These are selected summaries of defined terms provided to assist you with the completion of this form. Further details can be found within the OECD “Common Reporting Standard for Automatic Exchange of Financial Account Information” (the “CRS”), the associated “Commentary” to the CRS, and domestic guidance. Relevant information can be found at the OECD automatic exchange of information portal at <http://www.oecd.org/tax/automatic-exchange/>.

If you have any questions then please contact your tax adviser or domestic tax authority.

Account Holder	<p>The “Account Holder” is the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a Financial Account, the trust or estate is the Account Holder, rather than the trustee or the trust’s owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a Financial Account, the partnership is the Account Holder, rather than the partners in the partnership. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account.</p>
Active NFE	<p>An Active NFE if it meets any of the criteria listed below. In summary, those criteria refer to:</p> <ul style="list-style-type: none">• active NFEs by reason of income and assets;• publicly traded NFEs;• Governmental Entities, International Organisations, Central Banks, or their wholly owned Entities;• holding NFEs that are members of a non-financial group;• start-up NFEs;• NFEs that are liquidating or emerging from bankruptcy;• treasury centres that are members of a non-financial group; or• non-profit NFEs. <p>An entity will be classified as an Active NFE if it meets any of the following criteria:</p> <ol style="list-style-type: none">a) less than 50% of the NFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;d) 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 does not qualify for this status if the Entity functions (or holds itself out) 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;

- e) the NFE is not yet operating a business and has no prior operating history (a "start-up NFE") but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- g) 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; or
- h) the NFE meets all of the following requirements (a "non-profit NFE")
 - i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
 - ii) it is exempt from income tax in its jurisdiction of residence;
 - iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - iv) the applicable laws of the NFE's jurisdiction 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
 - v) the applicable laws of the NFE's jurisdiction 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 organisation, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.

Note: Certain entities (such as U.S. Territory NFFE's) may qualify for Active NFFE status under FATCA but not Active NFE status under the CRS.

Control

"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 10%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person or persons are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official.

Controlling Person(s)

"Controlling Person(s)" are the natural person(s) who exercise control over an entity. Where that entity is treated as a Passive Non-Financial Entity ("Passive NFE") then a Financial Institution is required to determine whether or not these Controlling Persons are Reportable Persons. This

definition corresponds to the term “beneficial owner” described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). Under the CRS the settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, are always treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

Where the settlor(s) of a trust is an Entity then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor(s) and when required report them as Controlling Persons of the trust. In the case of a legal arrangement other than a trust, “Controlling Person(s)” means persons in equivalent or similar positions.

Custodial Institution	The term “Custodial Institution” means any Entity that holds, as a substantial portion of its business, Financial Assets for the account of others. This is where the Entity’s gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20% of the Entity’s gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.
Depository Institution	The term “Depository Institution” means any Entity that accepts deposits in the ordinary course of a banking or similar business.
FATCA	FATCA stands for the US provisions commonly known as the Foreign Account Tax Compliance Act, which were enacted into US law as part of the Hiring Incentives to Restore Employment (HIRE) Act on March 18, 2010. FATCA creates a new information reporting and withholding regime for payments made to certain non-US financial institutions and other non-US entities.
Entity	The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).
Financial Account	A Financial Account is an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.
Financial Institution	The term “Financial Institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”. Please see the relevant domestic guidance and the CRS for further classification definitions that apply to Financial Institutions.
International Organisation	<p>International Organisation” includes any intergovernmental organisation (including a supranational organisation), or wholly owned agency or instrumentality of such an organisation, that:</p> <ul style="list-style-type: none">• primarily comprises governments; and• has in effect a headquarters or substantially similar agreement with a jurisdiction; and• the income of which is not for the benefit of private persons. <p>Arrangements substantially similar to headquarters arrangements include, for example, arrangements that entitle the organisation’s offices or establishments in the jurisdiction (e.g. a subdivision, or a local or regional office) to privileges and immunities.</p>
Investment Entity	The term “Investment Entity” includes two types of Entities:

- i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - 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;
 - Individual and collective portfolio management; or
 - Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons. Such activities or operations do not include rendering non-binding investment advice to a customer.
- ii) The second type of “Investment Entity” (“Investment Entity managed by another Financial Institution”) is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution

The term “Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution” means any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets if the Entity is (i) managed by a Financial Institution and (ii) not a Participating Jurisdiction Financial Institution.

Investment Entity managed by another Financial Institution

An Entity is “managed by” another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in clause (i) above in the definition of “Investment Entity”.

An Entity only manages another Entity if it has discretionary authority to manage the other Entity’s assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity, if any of the managing Entities is such another Entity.

NFE

An “NFE” is any Entity that is not a Financial Institution.

Non-Reporting Financial Institution

A Non-Reporting Financial Institution” means any Financial Institution that is:

- 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;
- a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- an Exempt Collective Investment Vehicle;
- a Trustee-Documented Trust: a trust where the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported with respect to all Reportable Accounts of the trust; or
- any other defined in a country's domestic law as a Non-Reporting Financial Institution.

Participating Jurisdiction

A “Participating Jurisdiction” means a jurisdiction with which an agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard and that is identified in a published list.

Participating Jurisdiction Financial Institution	<p>The term "Participating Jurisdiction Financial Institution" means:</p> <ul style="list-style-type: none"> (i) any Financial Institution that is tax resident in a Participating Jurisdiction, but excludes any branch of that Financial Institution that is located outside of that jurisdiction, and (ii) any branch of a Financial Institution that is not tax resident in a Participating Jurisdiction, if that branch is located in such Participating Jurisdiction.
Passive NFE	Under the CRS a "Passive NFE" means any NFE that is not an Active NFE. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution is also treated as a Passive NFE for purposes of the CRS.
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 vote and value in an Entity.
Reportable Account	The term "Reportable Account" means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.
Reportable Jurisdiction	A "Reportable Jurisdiction" is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.
Reportable Jurisdiction Person	<p>A "Reportable Jurisdiction Person" is an Entity that is tax resident in a Reportable Jurisdiction(s) under the tax laws of such jurisdiction(s) - by reference to local laws in the country where the Entity is established, incorporated or managed. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. As such if an Entity certifies that it has no residence for tax purposes it should complete the form stating the address of its principal office.</p> <p>Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to determine their residence for tax purposes.</p>
Reportable Person	<p>A "Reportable Person" is defined as a "Reportable Jurisdiction Person", other than:</p> <ul style="list-style-type: none"> • a corporation the stock of which is regularly traded on one or more established securities markets; • any corporation that is a Related Entity of a corporation described above; • a Governmental Entity; • an International Organisation; • a Central Bank; or • a Financial Institution (except for an Investment Entity described in Sub Paragraph A(6) b) of the CRS that is not are Participating Jurisdiction Financial Institution. Instead, such Investment Entities are treated as Passive NFEs.)
Resident for tax purposes	<p>Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine whether an entity is tax resident in the jurisdiction on the following website: http://www.oecd.org/tax/automatic-exchange/.</p> <p>Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of its domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for determining their residence for tax purposes. An Entity such as a partnership, limited liability</p>

partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. For additional information on tax residence, please talk to your tax adviser or see the OECD automatic exchange of information portal at <http://www.oecd.org/tax/automatic-exchange/>.

Specified Insurance
Company

The term "Specified Insurance Company" means 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.

TIN (including "functional
equivalent")

The term "TIN" means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal at <http://www.oecd.org/tax/automatic-exchange/>. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include, for Entities, a Business/company registration code/number.

Form **W-8BEN-E**

(Rev. October 2021)

Department of the Treasury
Internal Revenue Service**Certificate of Status of Beneficial Owner for
United States Tax Withholding and Reporting (Entities)**

► For use by entities. Individuals must use Form W-8BEN. ► Section references are to the Internal Revenue Code.
► Go to www.irs.gov/FormW8BENE for instructions and the latest information.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form for:

- U.S. entity or U.S. citizen or resident.....W-9
- A foreign individual W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the United States (unless claiming treaty benefits) W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) W-8ECI or W-8EXP
- Any person acting as an intermediary (including a qualified intermediary acting as a qualified derivatives dealer)W-8IMY

Instead use Form:**Part I Identification of Beneficial Owner****1** Name of organization that is the beneficial owner**2** Country of incorporation or organization**3** Name of disregarded entity receiving the payment (if applicable, see instructions)**4** Chapter 3 Status (entity type) (Must check one box only):☐ Simple trust☐ Tax-exempt organization☐ Corporation☐ Complex trust☐ Partnership☐ Foreign Government - Controlled Entity☐ Central Bank of Issue☐ Private foundation☐ Estate☐ Foreign Government - Integral Part☐ Grantor trust☐ Disregarded entity☐ International organizationIf you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes," complete Part III. ☐ Yes ☐ No**5** Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)☐ Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).☐ Nonreporting IGA FFI. Complete Part XII.☐ Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.☐ Participating FFI.☐ International organization. Complete Part XIV.☐ Reporting Model 1 FFI.☐ Exempt retirement plans. Complete Part XV.☐ Reporting Model 2 FFI.☐ Entity wholly owned by exempt beneficial owners. Complete Part XVI.☐ Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.☐ Territory financial institution. Complete Part XVII.☐ Excepted nonfinancial group entity. Complete Part XVIII.☐ Sponsored FFI. Complete Part IV.☐ Excepted nonfinancial start-up company. Complete Part XIX.☐ Certified deemed-compliant nonregistering local bank. Complete Part V.☐ Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.☐ Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.☐ 501(c) organization. Complete Part XXI.☐ Nonprofit organization. Complete Part XXII.☐ Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.☐ Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.☐ Certified deemed-compliant limited life debt investment entity. Complete Part VIII.☐ Excepted territory NFFE. Complete Part XXIV.☐ Active NFFE. Complete Part XXV.☐ Certain investment entities that do not maintain financial accounts. Complete Part IX.☐ Passive NFFE. Complete Part XXVI.☐ Excepted inter-affiliate FFI. Complete Part XXVII.☐ Owner-documented FFI. Complete Part X.☐ Direct reporting NFFE.☐ Sponsored direct reporting NFFE. Complete Part XXVIII.☐ Restricted distributor. Complete Part XI.☐ Account that is not a financial account.**6** Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

7 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

Part I Identification of Beneficial Owner *(continued)***8** U.S. taxpayer identification number (TIN), if required _____**9a** GIIN _____**b** Foreign TIN _____**c** Check if FTIN not legally required. ☐**10** Reference number(s) (see instructions) _____**Note:** Please complete remainder of the form including signing the form in Part XXX.**Part II Disregarded Entity or Branch Receiving Payment.** (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.)**11** Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment☐ Branch treated as nonparticipating FFI.☐ Reporting Model 1 FFI.☐ U.S. Branch.☐ Participating FFI.☐ Reporting Model 2 FFI.**12** Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address). _____

City or town, state or province. Include postal code where appropriate. _____

Country _____

13 GIIN (if any) _____**Part III Claim of Tax Treaty Benefits** (if applicable). (For chapter 3 purposes only.)**14** I certify that (check all that apply):**a** ☐ The beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.**b** ☐ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):☐ Government☐ Tax-exempt pension trust or pension fund☐ Other tax-exempt organization☐ Publicly traded corporation☐ Subsidiary of a publicly traded corporation☐ Company that meets the ownership and base erosion test☐ Company that meets the derivative benefits test☐ Company with an item of income that meets active trade or business test☐ Favorable discretionary determination by the U.S. competent authority received☐ No LOB article in treaty☐ Other (specify Article and paragraph): _____**c** ☐ The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).**15** **Special rates and conditions** (if applicable—see instructions):

The beneficial owner is claiming the provisions of Article and paragraph _____

of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: _____

Part IV Sponsored FFI**16** Name of sponsoring entity: _____**17** **Check whichever box applies.**☐ I certify that the entity identified in Part I:

• Is an investment entity;

• Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; **and**

• Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.

☐ I certify that the entity identified in Part I:

• Is a controlled foreign corporation as defined in section 957(a);

• Is not a QI, WP, or WT;

• Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**

- Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

Part X Owner-Documented FFI (continued)18 ☐ I certify that the FFI identified in Part I:

- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
- Does not solicit account holders outside its country of organization;
- Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and**
- Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this part.

Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts19 ☐ I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and**
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle

20 Name of sponsoring entity: _____

21 ☐ I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in Regulations section 1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100% of the equity interests in the FFI and is itself a sponsored FFI).

Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity22 ☐ I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section 1.1471-5(f)(2)(iv)).

Part IX Certain Investment Entities that Do Not Maintain Financial Accounts23 ☐ I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in Regulations section 1.1471-5(e)(4)(i)(A), **and**
- Does not maintain financial accounts.

Part X Owner-Documented FFI

Note: This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a ☐ (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Does not maintain a financial account for any nonparticipating FFI; **and**
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.

Part V Certified Deemed-Compliant Nonregistering Local Bank**Check box 24b or 24c, whichever applies.**

- b** ☐ I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
 - (i) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
 - (ii) The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
 - (iii) Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
 - Has provided, or will provide, valid documentation meeting the requirements of Regulations section 1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c** ☐ I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 4 years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section 1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

Check box 24d if applicable (optional, see instructions).

- d** ☐ I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

Part XI Restricted Distributor

- 25a** ☐ (All restricted distributors check here) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
 - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
 - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
 - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
 - Does not solicit customers outside its country of incorporation or organization;
 - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
 - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
 - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Check box 25b or 25c, whichever applies.

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b** ☐ Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c** ☐ Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section 1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Part XII Nonreporting IGA FFI26 ☐ I certify that the entity identified in Part I:

- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and _____ . The applicable IGA is a ☐ Model 1 IGA or a ☐ Model 2 IGA; and is treated as a _____ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
- If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor _____ . The trustee is: ☐ U.S. ☐ Foreign

Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue27 ☐ I certify that the entity identified in Part I is the beneficial owner of the payment, and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).**Part XIV International Organization**

Check box 28a or 28b, whichever applies.

28a ☐ I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).b ☐ I certify that the entity identified in Part I:

- Is comprised primarily of foreign governments;
- Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
- The benefit of the entity's income does not inure to any private person; **and**
- Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

Part XV Exempt Retirement Plans

Check box 29a, b, c, d, e, or f, whichever applies.

29a ☐ I certify that the entity identified in Part I:

- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
- Is operated principally to administer or provide pension or retirement benefits; **and**
- Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.

b ☐ I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- No single beneficiary has a right to more than 5% of the FFI's assets;
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**
 - (i) Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
 - (ii) Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A));
 - (iii) Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); **or**
 - (iv) Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.

c ☐ I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- Has fewer than 50 participants;
- Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
- Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
- Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20% of the fund's assets; **and**
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.

Part XV Exempt Retirement Plans *(continued)*

- d** ☐ I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e** ☐ I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f** ☐ I certify that the entity identified in Part I:
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**
 - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

Part XVI Entity Wholly Owned by Exempt Beneficial Owners

- 30** ☐ I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
 - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in Regulations section 1.1471-6 or in an applicable Model 1 or Model 2 IGA;
 - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in Regulations section 1.1471-6 or an applicable Model 1 or Model 2 IGA.
 - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; **and**
 - Has provided documentation establishing that every owner of the entity is an entity described in Regulations section 1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

Part XVII Territory Financial Institution

- 31** ☐ I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

Part XVIII Excepted Nonfinancial Group Entity

- 32** ☐ I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section 1.1471-5(e)(5)(i)(C) through (E);
 - Is a member of a nonfinancial group described in Regulations section 1.1471-5(e)(5)(i)(B);
 - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**
 - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XIX Excepted Nonfinancial Start-Up Company

- 33** ☐ I certify that the entity identified in Part I:
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) _____ (date must be less than 24 months prior to date of payment);
 - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
 - Is investing capital into assets with the intent to operate a business other than that of a financial institution; **and**
 - Does not function (or hold itself out) 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.

Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy

- 34** ☐ I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on _____;
 - During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;
 - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**
 - Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.

Part XXI 501(c) Organization

35 ☐ I certify that the entity identified in Part I is a 501(c) organization that:

- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated _____; **or**
- Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

Part XXII Nonprofit Organization

36 ☐ I certify that the entity identified in Part I is a nonprofit organization that meets the following requirements.

- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
- The entity is exempt from income tax in its country of residence;
- The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; **and**
- The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this part or escheats to the government of the entity's country of residence or any political subdivision thereof.

Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation

Check box 37a or 37b, whichever applies.

37a ☐ I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution; **and**

• The stock of such corporation is regularly traded on one or more established securities markets, including _____ (name one securities exchange upon which the stock is regularly traded).

b ☐ I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution;
- The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
- The name of the entity, the stock of which is regularly traded on an established securities market, is _____; **and**
- The name of the securities market on which the stock is regularly traded is _____.

Part XXIV Excepted Territory NFFE

38 ☐ I certify that:

- The entity identified in Part I is an entity that is organized in a possession of the United States;
- The entity identified in Part I:
 - (i) Does not accept deposits in the ordinary course of a banking or similar business;
 - (ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; **or**
 - (iii) Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
- All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

Part XXV Active NFFE

39 ☐ I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

Part XXVI Passive NFFE

40a ☐ I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

- b** ☐ I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); **or**
- c** ☐ I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

41 ☐ I certify that the entity identified in Part I:

- Is a member of an expanded affiliated group;
- Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
- Does not make withholdable payments to any person other than to members of its expanded affiliated group;
- Does not hold an account (other than depository accounts in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
- Has not agreed to report under Regulations section 1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

42 Name of sponsoring entity: _____

43 ☐ I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting its controlling U.S. persons under an applicable IGA.

[illegible]

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

☐ I certify that I have the capacity to sign for the entity identified on line 1 of this form.

Signature of individual authorized to sign for beneficial owner

Print Name _____

Date (MM-DD-YYYY)

'CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Other than Individuals

Important Instructions:

- | | |
|--|---|
| A) Fields marked with * are mandatory fields | F) List of State / U.T code as per India Motor Vehicle Act, 1988 is available at the end |
| B) Tick wherever applicable | G) List of two character ISO 3166 country codes is available at the end |
| C) Please fill the date in DD-MM-YYYY format | H) Please read section wise detailed guidelines / instructions at the end |
| D) Please fill the form in English and in BLOCK letters | I) For particular section update, please tick in the box available before the section number and strike off the sections not required to be updated |
| E) KYC Number of applicant is mandatory for update application | |

For Office Use Only

Application Type*

New ☐ Update ☐

(to be filled by financial institution)

KYC Number [Click or tap here to enter text.](#) (Mandatory for KYC Update Request)

1. ENTITY DETAILS (Please refer to instruction A at the end)

Name*	Click or tap here to enter text.				
Entity Constitution Type*	Click or tap here to enter text. (Please refer instruction B at the end)				
Date of incorporation / Formation*	Click or tap to enter a date.	Date of commencement of business:			Click or tap to enter a date.
Place of Incorporation / Formation*	Click or tap here to enter text.	Country of Incorporation / Formation*	Click or tap here to enter text.	TIN or Equivalent Issuing Country	Click or tap here to enter text.
PAN*	Click or tap here to enter text.	<input type="checkbox"/> Form 60 furnished			
TIN / GST Registration Number Click or tap here to enter text.					

2. PROOF OF IDENTITY (Pol)* (Please refer instruction B at the end)

<input type="checkbox"/> Officially valid document(s) in respect of person authorized to transact		
<input type="checkbox"/> Certificate of incorporation / Formation Click or tap here to enter text.	<input type="checkbox"/> Registration Certificate Click or tap here to enter text.	
<input type="checkbox"/> Memorandum and Articles of Association	<input type="checkbox"/> Partnership Deed	<input type="checkbox"/> Trust Deed
<input type="checkbox"/> Resolution of Board / Managing Committee	<input type="checkbox"/> Power of attorney granted to its manager, officers or employees to transact on its behalf	
<input type="checkbox"/> Activity Proof – 1 (For Sole Proprietorship Only)	<input type="checkbox"/> Activity Proof – 2 (For Sole Proprietorship)	

3. ADDRESS* (Please see instruction C at the end)

3.1 Registered Office Address / Place of Business*				
Proof of Address*	<input type="checkbox"/> Certificate of incorporation/Formation	<input type="checkbox"/> Registration Certificate	<input type="checkbox"/> Other Document MCA EXTRACT	
Line 1*				
Line 2				
Line 3	Click or tap here to enter text.	City/Town/Village*		Click or tap here to enter text.
District*	Click or tap here to enter text.	Pin/Post Code*	State / U.T Code*	ISO 3166 Country Code*
		Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.

3.2 Local Address in India (if different from above)*

Line 1*		Click or tap here to enter text.		
Line 2		Click or tap here to enter text.		
Line 3	Click or tap here to enter text.	City / Town / Village*		Click or tap here to enter text.
District*	Click or tap here to enter text.	Pin/Post Code* Click or tap here to enter text.	State/ U.T Code* Click or tap here to enter text.	ISO 3166 Country Code* Click or tap here to enter text.
4 CONTACT DETAILS (All communications will be sent on provided mobile no./Email ID* may be used) (Please refer to instruction D at the end)				
Tel. (Off)		FAX	Click or tap here to enter text.	
Mobile	Click or tap here to enter text.	Email ID	Click or tap here to enter text.	
Mobile	Click or tap here to enter text.	Email ID	Click or tap here to enter text.	
5. NUMBER OF RELATED PERSONS 1 (Please refer instruction E at the end)				
6. REMARKS (if any)				
7. APPLICATION DECLARATION (Please refer instruction G at the end)				
<p>I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I 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 aware that I may be held liable for it.</p> <p>I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address</p>				
Date: 08/08/2022		Place: Mumbai		Signature / Thumb Impression of Authorized Person(s)
8. ATTESTATION/FOR OFFICE USE ONLY				
Documents Received	<input type="checkbox"/> Certified Copies		<input type="checkbox"/> Equivalent e-document	
KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS		
Identity Verification <input type="checkbox"/> Done	Date: 03/11/2021	Name	Click or tap here to enter text.	
Emp. Name	Click or tap here to enter text.	Code	Click or tap here to enter text.	
Emp. Code	Click or tap here to enter text.	[Institution Stamp]		
Emp. Designation	Click or tap here to enter text.			
Emp. Branch	Click or tap here to enter text.			
[Employee Signature]				

CENTRAL KYC REGISTRY Instructions/ Check list Guidelines for filling Legal Entity/ Other than Individuals KYC Application Form		
A. Clarification / Guidelines for filling Entity Details section		
1. Entity Constitution Type		
A – Sole Proprietorship	H – Trust	O – Artificial Juridical Person
B – Partnership Firm	I – Liquidator	P – International Organization or Agency/ Foreign Embassy or Consular Office etc.
C – HUF	J – limited Liability Partnership	Q – Not Categorized
D – Private Limited Company	K – Artificial Liability Partnership	R – Others
E – Public Limited Company	L – Public Sector Banks	S – Foreign Portfolio Investors
F – Society	M – Central/State Government Department or Agency	
G – Association of Persons (AOP) / Body of Individuals (BOI)	N – Section 8 Companies (Companies Act, 2013)	
2. In case of companies and partnership, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available		

B. Clarification / Guidelines for filling “Proof of Identity [Pol]” section

1. Activity Proof – 1 and Activity Proof – 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
2. Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
3. Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
4. “Equivalent e-document” means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
5. “Digital KYC process” has to be carried out as stipulated in the PML Rules, 2005
6. KYC requirements for Foreign Portfolio Investors (FPIs) will be specified by the concerned regulator from time to time.

C. Clarification / Guidelines for filling “Proof of Identity[Pol]’ section

1. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses
2. Certified copy of document or equivalent e-document to be submitted

D. Clarification / Guidelines for filling “Contact Details” section

1. Please mention two-digit country code and 10 digit mobile number (e.g. for India mobile number mention 91-9999999999).
2. Do not add “0” in the beginning of Mobile number.

E. Clarification / Guidelines for filling “Related Person Details” section

1. Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected
2. Proof of Address [PoA]
 - PoA to be submitted only if the submitted PoI does not have an address as per PoI is invalid or not in force
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository
3. If KYC number of Related Person is available, no other details except “Person Type” and “Name of the Related Person” are required.
4. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR

F. Provision for capturing signature of multiple authorized person sis to be made by the RE.

List of two digit state / U.T codes as per India Motor Vehicle Act, 1988					
State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two-digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Nambia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	MZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy Saint BartheJemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kittsand Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

Annexure A1

Important Instructions

A) Fields marked with * are mandatory fields
 B) Tick wherever applicable
 C) Please fill the form in English and in BLOCK letters
 D) Please fill the date in DD-MM-YYYY format
 E) For particular section update, please tick in the box section number and strike off the sections not required to be updated

F) Please read section wise detailed guidelines / instructions at the end
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end
 H) List of two character ISO 3166 country codes is available at the end
 I) KYC number of applicant is mandatory for update application

For Office Use Only

Application Type* New ☐ Update ☐ Deleted ☐

(to be filled by financial institution)

KYC Number [Click or tap here to enter text.](#) (Mandatory for KYC Update Request)

1. DETAILS OF RELATED PERSON* (Please refer to instruction E at the end)

<input checked="" type="checkbox"/> Addition of Related Person	<input type="checkbox"/> Deletion of Related Person	<input type="checkbox"/> Update Related Person Details	KYC Number of Related Person (if available)* Click or tap here to enter text.	
Related Person Type*	<input type="checkbox"/> Director	<input type="checkbox"/> Promoter	<input type="checkbox"/> Karta	<input type="checkbox"/> Trustee
	<input type="checkbox"/> Proprietor	<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Authorised Signatory	
	<input type="checkbox"/> Court Appointment Official	<input type="checkbox"/> Power of Attorney Holder	<input type="checkbox"/> Beneficial Owner	
		<input type="checkbox"/> Other (Please specify)		
DIN (Director Identification Number)		Click or tap here to enter text. (Mandatory if Related Person Type is Director)		
Name*	Prefix Click or tap here to enter text.	First Name Click or tap here to enter text.	Middle Name Click or tap here to enter text.	Last Name Click or tap here to enter text.
If KYC number and name are provided, below details are optional				
Maiden Name	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
Father / Spouse Name*	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
Mother Name	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
Date of Birth*	Click or tap to enter a date.			
Nationality*	Click or tap here to enter text.			
Gender*	<input type="checkbox"/> M - Male	<input type="checkbox"/> F -Female	<input type="checkbox"/> T - Transgender	
PAN*	Click or tap here to enter text.	<input type="checkbox"/> Form 60 furnished		

2. PROOF OF IDENTITY AND ADDRESS*

I	Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)	<input type="checkbox"/> PHOTO*
A – Passport Number Click or tap here to enter text.		[Insert Photo]
B – Voter ID Card Click or tap here to enter text.		
C – Driving License Click or tap here to enter text.		
D – NREGA Job Card Click or tap here to enter text.		
E – National Population Register Letter Click or tap here to enter text.		
F – Proof of Possession of Aadhaar (Last 4 digits) Click or tap here to enter text.		
II	<input type="checkbox"/> E -KYC Authentication (Last 4 digits) Click or tap here to enter text.	

III	<input type="checkbox"/> Offline verification of Aadhaar (Last 4 digits) Click or tap here to enter text.				
Address					
Line 1*					
Line 2					
Line 3		Click or tap here to enter text.		City/Town/Village*	Click or tap here to enter text.
District*	Click or tap here to enter text.	Pin/Post Code*	State/U.T Code*	ISO 3166 Country Code*	
Click or tap here to enter text.					
3. CURRENT ADDRESS DETAILS (Please refer instruction E at the end)					
<input checked="" type="checkbox"/> Same as above mentioned address (in such cases address details as below need not be provided)					
I	Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)				
A – Passport Number		Click or tap here to enter text.			
B – Voter ID Card		Click or tap here to enter text.			
C – Driving License		Click or tap here to enter text.			
D – NREGA Job Card		Click or tap here to enter text.			
E – National Population Register Letter		Click or tap here to enter text.			
F – Proof of Possession of Aadhaar (Last 4 Digits)		Click or tap here to enter text.			
II	<input type="checkbox"/> E-KYC Authentication (Last 4 Digits)		Click or tap here to enter text.		
III	<input type="checkbox"/> Offline verification of Aadhaar (Last 4 Digits)		Click or tap here to enter text.		
IV	<input type="checkbox"/> Deemed Proof Address – Document Type code		Click or tap here to enter text.		
V	<input type="checkbox"/> Self-Declaration				
Line 1*		Click or tap here to enter text.			
Line 2		Click or tap here to enter text.			
Line 3		Click or tap here to enter text.	City/Town/Village*		Click or tap here to enter text.
District*	Click or tap here to enter text.	Pin/Post Code*	State / U.T Code*	ISO 3166 Country Code*	
		Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	
4 CONTACT DETAILS (All communications will be sent on provided mobile no./Email ID) (Please refer to instruction D at the end)					
Tel. (Off)	Click or tap here to enter text.	Tel. (Res)	Click or tap here to enter text.	Mobile	Click or tap here to enter text.
Email ID	anees.ahmed@autoliv.com				
5. REMARKS (If any)					
6. APPLICATION DECLARATION					
<p>I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I 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 aware that I may be held liable for it.</p> <p>I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address</p>					
Date: Click or tap to enter a date. text.		Place: Click or tap here to enter text.		Signature / Thumb Impression, Name and Designation of Authorized Person	
7. ATTESTATION/FOR OFFICE USE ONLY					

Documents Received	<input type="checkbox"/> Certified Copies	<input type="checkbox"/> E-KYC data received from UIDAI	<input type="checkbox"/> Data received from Offline verification
	<input type="checkbox"/> Digital KYC Process	<input type="checkbox"/> Equivalent e-document	
KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS	
Identity Verification <input type="checkbox"/> Done		Date: Click or tap to enter a date.	Name Click or tap here to enter text.
Emp. Name	Click or tap here to enter text.	Code	Click or tap here to enter text.
Emp. Code	Click or tap here to enter text.	[Institution Stamp]	
Emp. Designation	Click or tap here to enter text.		
Emp. Branch	Click or tap here to enter text.		
[Employee Signature]			

Legal Entity Identifiers: Frequently Asked Questions

What is an LEI?

- An LEI is a unique 20-character alphanumeric code that is assigned to each legal entity globally.
- The LEI system is overseen by the Global LEI Foundation (GLEIF), a not-for-profit organization established in Switzerland in June 2014. A wealth of information about the GLEIF and the LEI system can be found at www.gleif.org. The site also includes the full database of all LEIs issued.

Who needs an LEI?

- The vast majority of entities participating in the financial markets, whether cash, derivatives or financing markets, will need an LEI in order to comply with applicable laws and regulations.
- If your organization has multiple legal entities, each will require its own LEI.

What are we asking you to obtain an LEI?

- The requirements to obtain an LEI began with G20 ministers who mandated the global reporting of all swap transactions in 2010. There are now over 50 rules or regulations globally that mandate or request the LEI under a broad spectrum of financial transactions. By way of example:
 - Many rules require that parties be identified via LEI in transaction reporting.
 - EU Regulations such as European Market Infrastructure Regulation (EMIR), Securities Financing Transactions Regulation (SFTR) and Markets in Financial Instruments Regulation (MiFIR) broaden the types of transactions that are subject to LEI reporting to include securities financing transactions and cash securities, among others.
 - Importantly, under Markets in Financial Instruments Directive (MiFIDII), certain services cannot be provided to clients that can, but did not, obtain an LEI.
 - New rules are being proposed, such as the SEC's Investment Company Reporting Modernization rule, further broadening the scope of the requirement to identifying entities via LEI.
 - The list of regulations requiring an LEI is available at www.gleif.org.
- Additionally, LEIs are used for execution of certain processes such as completing the International Swaps and Derivatives Association (ISDA) protocols for certain types of trading activity. J.P. Morgan also plans to request LEIs as part of the Credit Support Annex (CSA) re-documentation process in relation to regulatory margin requirements for uncleared derivatives transactions.

What are the benefits of an LEI?

- Standardization of information is critical for all financial market participants in both the public and private sector.
- The regulatory landscape has shifted and the demand for industry supervisors to have appropriate, usable data is clear. A standard legal entity identifier will allow regulators to conduct a more accurate analysis of global systemic risk across markets, products and regions, and identification of concentrations and emerging systemic risks.
- Use of the LEI also allows parties to comply with applicable laws and regulations.

This summary is confidential and subject to important disclaimers and conditions including on offers for the purchase or sale of securities, accuracy and completeness of information, viruses, confidentiality, legal privilege, and legal entity disclaimers, available at <https://www.jpmorgan.com/country/GB/EN/disclosures>

How does my company request an LEI?

- Companies contact their preferred business partner from the list of LEI issuing organizations – also referred to as Local Operating Units (LOUs). There are 29 LOUs, around the world. Links to the LOUs are available at www.gleif.org.
- An LEI is usually issued within 24 to 48 hours of application. Initial registration costs are approximately \$150-200. Annual renewal at approximately half the initial registration cost is required.
- The LEI registration process requires the following information:

Entity Name and Legal Form

- Official Entity Name
- Legal Formation Country
- Legal Form

Business Registry

- Country of Business Registry
- Official Business Registry
- Official Business Registry Reference

Headquarters Address

- Address of Headquarters

Legal Formation Address

- Address of Legal Formation

If you have any questions, please contact your onboarding or sales contact.

(on Customer's letterhead)

Date:

To,

JPMorgan Chase Bank N.A.
Operations team,
J.P. Morgan Chase Bank N.A.
JPMorgan Towers,
2nd floor,
Off CST Road, Kalina,
Santa Cruz (East)
Mumbai 400098

Dear Sir/Madam

**Subject: Request for the refund of amount transferred to the Reserve Bank of India's ("RBI")
Depositor Education and Awareness Fund ("DEAF")**

This is with reference to [our current account bearing number _____ ("Account") held with JPMorgan Chase Bank N.A. acting through its branches in India ("Bank")]¹/[demand draft bearing reference number _____ dated _____ for INR _____ ("Demand Draft") issued by JPMorgan Chase Bank N.A. acting through its branches in India ("Bank") in favour of _____ ("Beneficiary").]²

[The abovementioned Demand Draft has not been used and the proceeds of the same (funds bearing Unique Deposit Reference Number (UDRN) _____)]³/[Due to non-operation of our Account, the balance in the Account (funds bearing Unique Deposit Reference Number (UDRN) _____)]⁴ have been transferred to the RBI DEAF on _____ in accordance with section 26A of the Banking Regulation Act and the RBI Circular on the DEAF Scheme dated Mar 21, 2014.

Please consider this Request Letter as a claim for refund of the funds, and transfer the refund amount to our account as given below:

Name of Bank :

Branch :

IFSC :

Account Number :

Account Name :

¹ To be included incase of unclaimed balances in current account transferred to DEAF

² To be included incase of unclaimed balances in demand draft transferred to DEAF

³ To be included incase of unclaimed balances in demand draft transferred to DEAF

⁴ To be included incase of unclaimed balances in current account transferred to DEAF

[Note: Applicable only for Demand Drafts wherein the original instrument has not been returned and no discharge letter/NOC is received from the beneficiary]:

The above-mentioned Demand Draft has been irretrievably lost or mislaid, and therefore, we are unable to furnish the same to you for cancellation and refund of the abovementioned amount. In this regard, we hereby represent and warrant to the Bank that:

1. We have not delivered the Demand Draft or any instrument thereto to any person other than the Beneficiary;
2. The Beneficiary has not presented the original Demand Draft for payment and has not endorsed the original Demand Draft in favor of any other person;
3. The Demand Draft has expired and has not been revalidated.
4. We shall inform the Beneficiary of cancellation of the Demand Draft to ensure that the same is not presented for payment, and we shall use our best-efforts to ensure that the Beneficiary destroys the said Demand Draft or submits the same to us and we undertake to return to the Bank, the original Demand Draft should it be found by us or again come into our possession, at any time hereafter.

In consideration of the Bank refunding the equivalent value of the Demand Draft to my account as instructed above (in the absence of the above original Demand Draft and Beneficiary's discharge letter), we hereby acknowledge, undertake and agree to hold the Bank, its officers, directors and agents harmless and indemnified from and against any and all claims, damages, demands, judgments, liabilities, losses, costs and expenses (including attorneys' fees) (collectively, "**Losses**") which the Bank may sustain or incur or which may be claimed against the Bank by reason of:

- i. the original Demand Draft being, at any time now or hereafter, found and presented for payment; and/ or
- ii. Any person or persons claiming to be the holders of the Demand Draft or in any way interested therein.]⁵

Sincerely,

For «CLIENTNAME»

Authorized Signatory/ies

Name:

Title:

⁵ Applicable only for Demand Drafts wherein the original instrument has not been returned and no discharge letter/NOC is received from the beneficiary