

C. R. KOTHARI & SONS SHARES & STOCK BROKERS PRIVATE LIMITED

CIN: U67120UP1998PTC038218
 MEMBER: BSE LIMITED CLG. NO.059 SEBI REGD NO.: INB011042638, INF011042638
 DEPOSITORY PARTICIPANT: CDSL DP ID No.19200 SEBI REGD NO.IN-DP-CDSL-95-2000
 REGD. OFF.: MEHTA COTTAGE, 12 LRCM OFFICERS COLONY, 119/505, DARSHAN PURVA, KALPI ROAD, KANPUR-208012
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FATCA/CRS DECLARATION FOR NON-INDIVIDUAL ACCOUNTS

Note – The information in this section is being collected because of enhancements to C. R. Kothari & Sons Shares & Stock Brokers Private Limited's account on-boarding procedures in order to fully comply with Foreign Account Tax Compliance Act (FATCA) requirements and the Common Reporting Standards (CRS) requirements.

For more information refer:

<http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA>
<http://www.oecd.org/ctp/exchange-of-tax-information/automatic-exchange-financial-account-information-common-reporting-standard.pdf>

FATCA / CRS declaration and details for entities

(We are unable to provide advice about your FATCA classification or interpretation of any terms. Please therefore seek advice from a tax professional on any FATCA aspects)

Part A – Preliminary details (All fields mandatory)

Mar-2016

Sr No	Particulars	Details of Applicant												
1	Trading code Client ID(To be provided only if demat account is with CRKSSSBPL):													
2	Name of the Entity													
3	Address for Tax Residence (including city, state, country and pin code)													
4	Address Type (Business or registered office)													
5	Entity Constitution Type. (Refer Instruction 6 in annexure)													
6	Do you satisfy any of the criteria mentioned below?													
	a. Is the entity a U.S. person (Please refer 'other definitions' in the instructions)	Yes <input type="checkbox"/> No <input type="checkbox"/> (Please answer b) (Please go to c)												
	b. Is the entity a Specified US Person	Yes <input type="checkbox"/> No <input type="checkbox"/> (Refer instruction 5 in annexure)												
	c. Is the entity formed/incorporated outside India	Yes <input type="checkbox"/> No <input type="checkbox"/> <<If yes, please specify city and country of incorporation / formation>>												
	d. Is the entity having Tax Residency in any country (ies) other than India	Yes <input type="checkbox"/> No <input type="checkbox"/> << If yes, please provide the following details>>												
		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">Country of Tax residency</th> <th style="width: 45%;">Tax Identification No. /Functional equivalent of the foreign country</th> <th style="width: 30%;">Identification Type#</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table> <p><i>#In case Tax Identification Number is not available, kindly provide functional equivalent or Company Identification Number or Global Entity Identification Number</i></p>	Country of Tax residency	Tax Identification No. /Functional equivalent of the foreign country	Identification Type#									
Country of Tax residency	Tax Identification No. /Functional equivalent of the foreign country	Identification Type#												
7	Is the entity a Financial Institution (FI) {including an Foreign Financial Institution} (refer instruction 1 in annexure) Or A Direct Reporting NFFE (Refer 'other definitions' in Annexure)	Yes <input type="checkbox"/> No <input type="checkbox"/> (Please fill Part B) (Go to next question)												
8	Is the entity a publicly traded corporation / a related entity of a publicly traded corporation/Active NFFE (For clarification, refer instruction 3 in Annexure)	Yes <input type="checkbox"/> No <input type="checkbox"/> (Please fill Part C) (Please fill Part D) Note: Part D needs to be filled for all accounts opened, irrespective of answer to this section.												

Part B - If your answer to question 7 in Part A is a YES, please provide details in relation to Financial Institutions/ Foreign Financial Institutions or Direct Reporting NFFEs

Particulars	Details of applicant
The entity is: 1) Financial Institution <input type="checkbox"/> 2) Direct Reporting NFFE <input type="checkbox"/>	Global Intermediary Identification Number (GIIN) _____ <i>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN and name below:</i> Name of sponsoring entity: _____ (For clarification, refer 'Other Definitions' in the Annexure) Sponsoring Entity's GIIN: _____ (If GIIN provided, please go directly to the declaration and acknowledgment)
If GIIN not available [tick any one]:(Not applicable to Direct Reporting NFFE)	a. Not obtained: <input type="checkbox"/> b. Applied for <input type="checkbox"/> c. GIIN not required <input type="checkbox"/> [_____] Please specify reasons: _____ [insert application date] Please insert code: _____ (Mention Code - For clarification, refer instruction 2 in annexure) (Please go to Declaration and Acknowledgment)

Part C - If your answer to question 8 in Part A is a YES, please provide following details:

Sr No	Particulars	Details of applicant
1	a. Are you a publicly traded company? (Refer 'Instruction 3' in the annexure)	Yes <input type="checkbox"/> No <input type="checkbox"/> [Please fill C1(b)] (Please fill C2)
		b. Are your shares regularly traded on a recognized stock exchange Yes <input type="checkbox"/> No <input type="checkbox"/> (Please fill C2)
		If yes, please provide name of the stock exchange where the shares are regularly traded: 1. _____ 2. _____ (Please go to Declaration and Acknowledgment)
2	Are you a related entity# of a listed company mentioned in Part C (1) above # <i>Related entity</i> - An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control	Yes <input type="checkbox"/> No <input type="checkbox"/> Nature of relation with the related entity: (Please fill C3) Subsidiary of the listed company. <input type="checkbox"/> Controlled by a listed company <input type="checkbox"/>
		If yes, please provide name of the related entity that is listed : _____ Name of the stock exchange where the shares of the related listed entity are regularly traded: 1. _____ (Please go to Declaration and Acknowledgment)
3	Entity is an Active NFFE	Please specify nature of business _____ Category:___ (Refer codes in Instruction 3) (Provide UBO details in Part D and go to Declaration and Acknowledgment)

Part D- If your answer to question 8 in Part A is a NO, please provide following details:

Entity is a Passive NFFE : Entity is Active NFFE:

(other than Direct reporting NFFE)

Please specify nature of business: _____

Provide details of all UBO/s or Controlling person/s, [natural persons as per PMLA] (including Owner Documented FFI's [For clarification, refer 'Other Definitions' in the Annexure]) in the table below

Are you an Owner-documented FFI's - Yes No

If 'Yes', in addition to the below details, please provide a duly filled form W8BEN E along with FFI Owner Reporting Statement and Auditor's Letter.

If 'No', Please provide below details only.

Name of UBO	Date of Birth	Gender	Country of Tax residency	Nationality	Residence address for tax purposes	Fathers name (If PAN not available)	Tax identification number or equivalent & Tax identification / functional equivalent document	Identification document: Passport/PAN etc	City and Country of Birth	UBO Code (For clarification, refer Instruction 7 in the Annexure)

Note: In case of a multiple intermediaries, please provide the shareholding / controlling structure of each such intermediary/ies.

- A. If any of the UBO is a resident / citizen of 'other than India' or citizen / tax resident / green card holder of country, please provide Taxpayer ID number or equivalent / Social Security Number [SSN]
 - B. Submit documentary proof like shareholding pattern duly self-attested by Authorized Signatory / Company Secretary
 - C. If number of UBOs are greater than 4 or the space required is insufficient, information in the given format can be given in additional sheets
- Please also fill the Beneficial Owner Form for the UBOs*

Declaration & Acknowledgement	<p>I _____ being the beneficial owner of the account opened/ to be opened with C. R. Kothari & Sons Shares & Stock Brokers Private Limited and the income credited therein declare that the above information and information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed</p> <p>I acknowledge that towards compliance with tax information sharing laws, such as FATCA/CRS, CRKSSSBPL may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if CRKSSSBPL does not receive a valid self-certification from me) the CRKSSSBPL may be obliged to share information on my account with relevant tax authorities. Should there be any change in any information provided by me, I ensure that I will advise CRKSSSBPL promptly, i.e., within 30 days.</p> <p>Towards compliance with such laws, CRKSSSBPL may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, CRKSSSBPL may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s).</p>		
Customer/Authorized person Signature & Designation			
Date			