



electrum

ALTERNATE INVESTMENT FUND [AIF]

ACCOUNT OPENING FORM

**ELECTRUM PORTFOLIO MANAGERS PRIVATE LIMITED**

(Formerly known as Electrum Portfolio Managers Limited) U74110MH2014PTC265689  
SEBI Registration No.: INP000007544 Registered Office: 1301, Morya Grand Off New  
Link Road, Opposite Infinity Mall, Andheri West, Mumbai - 400 053, Maharashtra. Ph.:  
022-4575 0000

**DOCUMENTATION CHECKLIST**

Sr. No.	Documents to be submitted	Status
1.	Application Form*	
2.	Private Placement Memorandum (PPM) Acknowledgement	
3.	Contribution Agreement	
4.	Funding Instrument/Instruction e.g. Cheque Copy/RTGS Letter	
5.	Pay-out Bank Account Proof	
6.	Nomination Form	
7.	FATCA & CRS - Self Certification form for Individuals	
8.	FATCA, CRS & UBO Self Certification form for non-individuals	
9.	Stamp Paper	

## ELECTRUM PORTFOLIO MANAGERS PRIVATE LIMITED ALTERNATE INVESTMENT FUND [AIF] ACCOUNT OPENING FORM

**Please read the instructions carefully before filling in the form.**

The Application Form should be completed in English and in BLOCK LETTERS with Blue/Black Ink only. \*Fields are Mandatory.

**Application No.:** -

Distributor Code	Distributor Name	Distributor RM Name/Code IMC Employee Name/Code	Distributor RM Email ID/ IMC Employee Email ID

### CONTRIBUTOR/S DETAILS

#### 1 MODE OF HOLDING AND FOLIO DETAILS

Single    Joint    Anyone or Survivor (Default)

**Folio No.** (Not applicable for first time Contributor/s)

If Folio No. is mentioned, only fill details for Point 6. All other details from Point 1 to 5 & 7 will be captured as per the folio.

#### 2 PRIMARY/SOLE CONTRIBUTOR'S DETAILS

(Non-Individual contributor please fill FATCA/CRS, UBO Annexure along with application form) (Ref. 1 & 2 Instructions of FATCA/CRS, UBO Form for Non-Individuals)

**Name\*** (As per PAN Card)

Mr./Mrs./M/S.      First Name      Middle Name      Last Name

**Gender\***    Male    Female    Other

**Date of Birth\*/Incorporation\***

D	D	M	M	Y	Y	Y	Y
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**PAN\*** (Ref. 4)   

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**Wedding Anniversary**

D	D	M	M	Y	Y	Y	Y
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**KIN** (CKYC No.) (Ref. 7)   

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In case of non-availability of KIN number, please fill CKYC application form.

**Father's Name\***

Mr.	First Name	Middle Name	Last Name
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(To be mentioned only in case of Individual Contributor)

**LEI NO**

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**LEI Expiry Date**

D	D	M	M	Y	Y	Y	Y
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(Mandatory for non-individuals transacting/proposing to transact for an amount of Rs.50 crores or more)

#### 2A STATUS OF PRIMARY CONTRIBUTOR\*

- |  |                                     |                                       |                                  |   |
|--|-------------------------------------|---------------------------------------|----------------------------------|---|
| <input type="checkbox"/> Resident Individual | <input type="checkbox"/> NRI-NRE    | <input type="checkbox"/> NRI-NRO      | <input type="checkbox"/> Minor   | <input type="checkbox"/> Company        |
| <input type="checkbox"/> Partnership Firm    | <input type="checkbox"/> Proprietor | <input type="checkbox"/> HUF          | <input type="checkbox"/> Society | <input type="checkbox"/> Body Corporate |
| <input type="checkbox"/> Trust               | <input type="checkbox"/> NPO        | <input type="checkbox"/> AOP          | <input type="checkbox"/> LLP     | <input type="checkbox"/> FPI            |
| <input type="checkbox"/> PIO                 | <input type="checkbox"/> BOI        | <input type="checkbox"/> Others _____ | Specify _____                    |   |

#### 2B GUARDIAN DETAILS (Note: No Joint Contributors are permitted in case of minor applicant) (Ref.9) ■ Not Applicable

**Name of the Guardian\***

Mr./Mrs./M/S.      First Name      Middle Name      Last Name

**Guardian PAN\***

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**Guardian Relationship with Minor\***    Father    Mother    Court Appointed

**KIN** (CKYC No.) (Ref. 7)   

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In case of non-availability of KIN number, please fill CKYC application form.

**Proof of Date of Birth of Minor\*** (Ref. 9)    Birth Certificate    School Certificate    Passport    Others \_\_\_\_\_   Specify \_\_\_\_\_

(Mandatory to attach proof)

#### 2C POA DETAILS (Note: In case of POA, please attach copy of Notarized Power of Attorney) (Ref. 10) ■ Not Applicable

**Name of POA\***

Mr./Mrs./M/S.      First Name      Middle Name      Last Name

**POA PAN\***

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**Proof of POA\*** (Ref. 10)    Notarized Power of Attorney

**KIN** (CKYC No.) (Ref. 7)   

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In case of non-availability of KIN number, please fill CKYC

**2D CONTACT DETAILS OF PRIMARY/SOLE CONTRIBUTOR**
**Contact Person Name**

(To be mentioned only in case of Corporate/Partnership Firm/Trust/HUF/AOP/Registered Society)

**Mobile No.\***

**E-mail ID\***

(Default Mobile Number &amp; E-mail id as per KYC records)

**Phone (O)**

**Phone (R)**


 I/We wish to receive all my communications via  Email (Default)  Physical

**2E CORRESPONDENCE ADDRESS OF PRIMARY/SOLE CONTRIBUTOR\*** (As per KYC records)

Address line 1

Address line 2

Address line 3

Pincode/Zipcode

**3 JOINT CONTRIBUTOR 1 DETAILS** (Ref. 11)

 Not Applicable

**Name\*** (As per PAN Card)

Mr./Mrs.

First Name

Middle Name

Last Name

**Gender\***
 Male

 Female

 Other

**Date of Birth\*/Incorporation\***

**Relationship with Primary Contributor\***
**Category\*** (Ref. 11)

 Exempted  Non-Exempted

**PAN\*** (Ref. 4)

**Wedding Anniversary**

**KIN** (CKYC No.) (Ref. 7)

In case of non-availability of KIN number, please fill CKYC application form

**Father's Name\***

Mr.

First Name

Middle Name

Last Name

(To be mentioned only in case of Individual Contributor)

**LEI NO**

**LEI Expiry Date**


(Mandatory for Non-Individuals transacting/proposing to transact for an amount of Rs.50 crores or more)

**3A STATUS OF JOINT CONTRIBUTOR 1\***
 Resident Individual

 NRI-NRE

 NRI-NRO

 Minor

 Company

 Partnership Firm

 Proprietor

 HUF

 Society

 Body Corporate

 Trust

 NPO

 AOP

 LLP

 FPI

 PIO

 BOI

 Others \_\_\_\_\_ Specify \_\_\_\_\_

**3B CONTACT DETAILS OF JOINT CONTRIBUTOR 1**
**Mobile No.\***

**E-mail ID\***

(Default Mobile Number &amp; E-mail id as per KYC records)

**Phone (O)**

**Phone (R)**

**3C CORRESPONDENCE ADDRESS OF JOINT CONTRIBUTOR 1\*** (As per KYC records)

 Same as Primary Contributor

Address line 1

Address line 2

Address line 3

Pincode/Zipcode



Gross Annual Income Range in (Rs.)	Primary Contributor /Guardian	Joint Contributor 1	Joint Contributor 2	Gross Annual Income Range in (Rs.)	Primary Contributor /Guardian	Joint Contributor 1	Joint Contributor 2
Below 1 lacs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10-25 lacs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1-5 lacs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	25 lacs-1 cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5-10 lacs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	>1 cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Net worth (Not older than one year)</b> <small>(Mandatory for Non-Individual)</small>	Rs. <input type="text"/>	As on	D	D	M	M	Y	Y	Y	Y
	Rs. <input type="text"/>		In Words							
<b>Non-Individual Contributor/providing any of the mentioned services</b>	<input type="checkbox"/> Foreign Exchange/Money Changer					<input type="checkbox"/> Gaming/Gambling/Lottery (casinos, betting syndicates)				
	<input type="checkbox"/> Money Lending/Pawning					<input type="checkbox"/> None of the above				

### 6 COMMITMENT DETAILS\*

<b>Contribution Class</b>	<input type="checkbox"/> Class A 1	<input type="checkbox"/> Class A 6	<input type="checkbox"/> Class B 1	<input type="checkbox"/> Class B 6	<input type="checkbox"/> Class C 1
	<input type="checkbox"/> Class A 2	<input type="checkbox"/> Class A 7	<input type="checkbox"/> Class B 2	<input type="checkbox"/> Class B 7	<input type="checkbox"/> Class C 2
	<input type="checkbox"/> Class A 3	<input type="checkbox"/> Class A 8	<input type="checkbox"/> Class B 3	<input type="checkbox"/> Class B 8	
	<input type="checkbox"/> Class A 4	<input type="checkbox"/> Class A 9	<input type="checkbox"/> Class B 4	<input type="checkbox"/> Class B 9	
	<input type="checkbox"/> Class A 5		<input type="checkbox"/> Class B 5		

Scheme / Strategy Name – Electrum Portfolio Managers Private Limited – AIF

<b>Total Commitment Amount (in Figures)</b>	Rs. <input type="text"/>
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<b>Total Commitment Amount (in Words)</b>	Rs. <input type="text"/>
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### 6A CONTRIBUTION DETAILS - PRIMARY CONTRIBUTOR\* (Mandatory) (Ref. 5 & 8)

<b>Contribution Amount (in Figures)</b>	Rs. <input type="text"/>
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<b>Contribution Amount (in Words)</b>	Rs. <input type="text"/>
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**Mode of Payment**  Cheque  RTGS  NEFT  Transfer Instruction  Others Specify

**Account Type**  Savings  Current  NRO  NRE  FCNR  Others Specify

**Cheque/RTGS/NEFT No.**  **Dated** D  D  M  M  Y  Y  Y  Y

**Bank A/C No.**

**Drawn on Bank**  **Branch & City**

### 6B CONTRIBUTION DETAILS - JOINT CONTRIBUTOR 1 (Applicable only in case of Joint Contribution) (Ref. 5 & 8) ■ Not Applicable

The Joint Contributor is under the Non-Exempted Category:  YES (If yes, kindly fill the below details. All fields are Mandatory. Minimum Contribution Amount is Rs.1 Crs)  
 NO

<b>Contribution Amount</b>	Rs. <input type="text"/>
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<b>Contribution Amount</b>	Rs. <input type="text"/>
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**Mode of Payment**  Cheque  RTGS  NEFT  Transfer Instruction  Others Specify

**Account Type**  Savings  Current  NRO  NRE  FCNR  Others Specify

**Cheque/RTGS/NEFT No.**  **Dated** D  D  M  M  Y  Y  Y  Y

**Bank A/C No.**

**Drawn on Bank**  **Branch & City**

**6C CONTRIBUTION DETAILS - JOINT CONTRIBUTOR 2** (Ref. 5 & 8) ■ Not Applicable

(Applicable only in case of Joint Contribution. All fields are Mandatory. Minimum Contribution Amount is Rs. 1 Crs)

<b>Contribution Amount</b>	<b>Rs.</b>																									
<b>Contribution Amount</b>	<b>Rs.</b>																									
<b>Mode of Payment</b>	<input type="checkbox"/> Cheque	<input type="checkbox"/> RTGS	<input type="checkbox"/> NEFT	<input type="checkbox"/> Transfer Instruction	<input type="checkbox"/> Others	<i>Specify</i>																				
<b>Account Type</b>	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> NRO	<input type="checkbox"/> NRE	<input type="checkbox"/> FCNR	<input type="checkbox"/> Others	<i>Specify</i>																			
<b>Cheque/RTGS/NEFT No.</b>																<b>Dated</b>	D	D	M	M	Y	Y	Y	Y		
<b>Bank A/C No.</b>																										
<b>Drawn on Bank</b>																									<b>Branch &amp; City</b>	

**6D ADDITIONAL BANK ACCOUNT DETAILS**

<b>Bank Name</b>																										
<b>Bank A/C No.</b>																										
<b>Type</b>	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> NRO	<input type="checkbox"/> NRE	<input type="checkbox"/> FCNR	<input type="checkbox"/> Others	<i>Specify</i>																			
<b>Branch Name</b>																										
<b>City</b>																<b>Pincode</b>										
<b>IFSC Code</b> (11 digit)											<b>MICR Code</b> (9 digit)															

\*Mentioned on your cheque leaf

**7 BANK ACCOUNT DETAILS FOR PAY-OUT\*** (Ref. 3)

<b>Bank Name</b>																										
<b>Bank A/C No.</b>																										
<b>Type</b>	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> NRO	<input type="checkbox"/> NRE	<input type="checkbox"/> FCNR	<input type="checkbox"/> Others	<i>Specify</i>																			
<b>Branch Name</b>																										
<b>City</b>																<b>Pincode</b>										
<b>IFSC Code</b> (11 digit)											<b>MICR Code</b> (9 digit)															

\*Mentioned on your cheque leaf

**8 DMAT Account Information.**

DP Name	DP ID	Client ID

**9 DECLARATION & SIGNATURES**

- (a) I/We have read and understood the contents of the Private Placement Memorandum and the Contribution Agreement of Electrum Portfolio Trust – AIF \_\_\_\_\_ scheme including the sections on "Prevention of Money Laundering and Know Your Customers". I/We hereby apply to the Trustees of the Fund for units of the Scheme as indicated above and agree to abide by the terms and conditions of the Scheme. I/We have not received nor have been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We further declare that the amount invested by me/us in the Scheme is derived through legitimate sources and is not held or designed for the purpose of contravention of any act, rules, and regulations or any statute or legislation or any other applicable laws or any notifications, directions issued by any governmental or statutory authority from time to time. Further, relevant declaration and documents as mandated herein have been provided for the mode of my payment. I/We further confirm that I/We have the express authority from the relevant constitution to invest in the units of the Scheme and the Investment Manager, its Trustee and the Fund would not be responsible if the investment is ultra vires the relevant constitution. I/We authorize the Investment Manager to reject the application, reverse the units credited, restrain me/us from making any further investment in any of the Scheme/s of the Fund, recover/debit my/our folio(s) with the penal interest and take any appropriate action against me/us in case the cheque(s)/payment instrument is/are returned unpaid by my/our bank for any reason whatsoever. I/We hereby further agree that the Investment Manager can directly credit all the payouts to my/our bank account, where the Investment Manager has such arrangement with my/our Bank. I/We hereby authorize the Investment Manager to provide my/our information, as mentioned in this application form or forming part of my/our Folio details, to Registrar and Transfer Agent or service providers engaged by R&T, for effectively carrying out the maintenance, storage and processing of unit holders' related activities.
- (b) I/We hereby accord my/our consent to Electrum Portfolio Managers Private Limited- Investment Managers/Scheme for collecting, receiving, possessing, storing, dealing, handling or disclosure of my/our personal data and hereby authorize to disclose it to the third party or another body corporate or any person acting under a lawful contract with Electrum Portfolio Managers Private Limited- InvestmentManagers.
- (c) The Investment Manager reserves the right to inform the existing Distributor/Referral Agent of any request received from the Contributor which can directly or indirectly impact the Distributors/Referral Agent.
- (d) Any such request shall be processed only after cooling off period of 14 working days of receipt of request from the Contributor.

Primary Contributor/ Guardian/POA Signature	Joint Contributor 1 Signature	Joint Contributor 2 Signature
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Name: \_\_\_\_\_ Name: \_\_\_\_\_ Name: \_\_\_\_\_

Date : DD/MM/YYYY Date : DD/MM/YYYY Date : DD/MM/YYYY

Place : \_\_\_\_\_ Place : \_\_\_\_\_ Place : \_\_\_\_\_

**10 FOR OFFICE USE ONLY\*** (To be filled by Electrum Portfolio Managers Private Limited - Investment Managers Private Limited only)

Primary/Sole Contributor/Guardian Name/Salutation
Joint Contributor 1 Name/Salutation
Joint Contributor 2 Name/Salutation

## 1. GENERAL INSTRUCTIONS:

- I. Please read the terms of the Private Placement Memorandum (PPM) and Contribution Agreement carefully before filling the Application Form. Contributors are deemed to have accepted the terms of the aforesaid mentioned documents subject to which this offer is being made and bind themselves to the terms upon signing the Application Form, Contribution Agreement and tendering the payment.
- II. Thumb Impressions must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal. Applications by minors should be signed by the guardians and in case of Hindu Undivided Family (H. U. F.) the Karta should sign on behalf of the H. U. F.
- III. Applications incomplete in any respect or not accompanied by payment instrument of the amount payable are liable to be rejected and the money paid will be refunded without interest.
- IV. All instruments must be drawn in favour of "Electrum Portfolio Managers Private Limited" and crossed "Account Payee Only". **The Application Form number/Folio number should be written by the Contributor/s on the reverse of the cheques and bank drafts accompanying the Application Form.**
- V. Do not overwrite. For any correction/changes if made in the Application Form, the Contributor/s shall enter the correct details pursuant to cancellation of incorrect details and authenticate the corrected details by counter-signing against the changes.
- VI. Copies of the supporting documents submitted should be accompanied by originals for verification. In case the original of any document is not produced for verification, Electrum Portfolio Managers Private Limited Investment Managers Private Limited (Electrum Portfolio Trust) reserves the right to seek attested copies of the supporting documents.

## 2. CONTRIBUTOR PARTICULARS:

- I. Name and address must be given in full. Simply the P.O. Box address is not sufficient.
- II. Name of Guardian must be mentioned if investments are being made on behalf of a minor. Date of birth is mandatory in case of minor.
- III. Please refer the checklist of documents to be submitted by Companies/Body Corporate/Societies/Trusts/Partnership Firms. For FPI/NRI/PIO investment, please get in touch with Electrum Portfolio Managers Private Limited.
- IV. In case of an application under Power of Attorney or by a Limited Company, Body Corporate, Registered Society, Trust or Partnership, etc. the relevant Power of Attorney or the relevant resolution or authority to make the application as the case maybe, or duly notarized copy thereof, along with the Memorandum and Articles of Association/Bye Laws must be lodged with the application form.

The Power of Attorney should necessarily be signed by both the Contributor/s and the constituent Power of Attorney. Where only uncertified photocopies of the documents are submitted/attached to the application form, the onus for authentication of the documents so submitted shall be on Contributor/s and the Investment Manager will accept and act in good faith on uncertified/not properly authenticated documents submitted/attached with the application form. Submission of such documents by Contributor/s shall be full and final proof of the Non-Individual Contributor's authority to invest and the Investment Manager shall not be liable under any circumstances for any defects in the documents so submitted. Non-Individual Contributor/s are required to ensure that the object clause of the constitution document (viz. MOA/AOA/Trust Deed, etc.) permits investment in the scheme. The Investment Manager shall accept and process the applications made by these entities in good faith by relying on the undertaking given with respect to the authority, validity, and compliance with all relevant formalities/conditions etc., in the application for making such investments with the Fund. Further, the Investment Manager/Trustees or any of its affiliates shall not be liable in case of any dispute arising with respect to eligibility, validity and authorization of the entity and/or the contributors who have applied on behalf of the entity, as applicable.

- V. Contributors can specify the mode of holding in the application form as "Single" or "Joint". In the case of holding specified as "Joint", all requests/transactions would have to be signed by all Contributors. In the event the account has more than one registered Contributor/s and the mode of holding is not specified in the application form, the default option for holding would be considered to be Anyone or Survivor. However, in all cases, the proceeds of all redemption will be paid to the Primary Contributor.

## 3. BANK DETAILS:

Contributor/s at the time of onboarding must provide the details of the pay-out bank account (i.e. account into which redemption are to be paid) in the Application Form. The Contributor/s subscribing under a new folio is required to submit any one of following as a documentary proof

along with the application form validating that pay-out bank account pertain to the sole/first Contributor. In case of folios held on behalf of a minor, the pay-out bank account should be held in the name of the minor or minor with guardian in the folio. Once the bank account is registered in the folio, it can be used for both pay-out and pay-in purposes.

### Acceptable Documents for Bank Proof:

- Cancelled original cheque leaf of the pay-out bank account (where the account number and Contributor/s name is printed on the face of the cheque). Contributor/s should without fail cancel the cheque and write 'Cancelled' on the face of it to prevent any possible misuse;
- Self-attested copy of the bank passbook or a statement of bank account with current entries not older than 3 months having the name and address of the Contributor/s and account number;
- A letter from the bank on its letterhead certifying that the applicant maintains an account with the bank, the bank account information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available).

*Note: The above documents shall be submitted in Original. If copies are furnished, the same must be submitted at the registered office of Electrum Portfolio Managers Private Limited where they will be verified with the original documents to the satisfaction of the Fund. The original documents will be returned across the counter to the applicant after due verification. In case the original of any document is not produced for verification, then the copies should be attested by the bank manager with his/her full signature, name, employee code, bank seal and contact number.*

## 4. PERMANENT ACCOUNT NUMBER (PAN) DETAILS:

It is compulsory for all Contributor/s to quote their PAN, irrespective of the amount of investment, while making an application for Purchase of Units. In case of Joint Contributors, PAN details of all are required. In case the Contributor making the application is a Minor, PAN details of the Guardian is required.

## 5. MODE OF PAYMENT:

- I. Payment shall be accepted through RTGS/NEFT/Debit Mandate, as well as transfer cheques.
- II. For all mode of payments, details of source account, source bank name and source branch name should be mentioned.
- III. Contributor/s are requested to note that, in case of:
  - a) Payment by Transfer Cheque: Contributor/s at the time of his/her purchase must provide the details of his pay-in bank account (i.e., account from which a subscription payment is made) and his pay-out bank account (i.e. account into which redemption/distribution proceeds are to be paid).
  - b) Payment by RTGS, NEFT, Bank transfer, etc.: A copy of the instruction to the bank stating the account number debited must accompany the purchase application.

## 6. KNOW YOUR CLIENT (KYC):

All Contributor/s (including POAs and Guardians) are required to be KYC compliant irrespective of the amount of investment. In case the Contributor/s is/are not KYC certified, Contributor/s to fill in the CKYC form (individual or non-Individual). Each Contributor in the folio must be KYC compliant. Contributor/s may kindly note that SEBI Circular issued regarding uniformity in the KYC process was effective from January 1, 2012.

- I. SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries, new Contributor/s are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries.
- II. It is mandatory to carry out In-Person Verification (IPV) for processing the KYC for Contributor/s from January 1, 2012.
- III. Once the KYC and IPV-In Person Verification has been done with any SEBI registered intermediary, the Contributor/s need not undergo the same process again with any another intermediary.
- IV. In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/net worth and Politically Exposed Person (PEP)\* status mentioned under section 2 & 3 which was forming part of uniform KYC form will now be captured in the application form of the Fund. Also, the detail of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc., (applicable for first/sole contributor) is required to be provided as part of Client Due Diligence (CDD) Process of the Fund. The said details are mandatory for both Individual and Non-Individual Contributor/s.

*\*PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, Senior Politicians, Senior Government/Judicial/Military Officers, Senior Executives of State Owned Corporations, important Political Party Officials, etc.*

## **7. OPERATIONALISATION OF CENTRAL KYC RECORDS REGISTRY (CKYCR):**

Central Registry of Securitization and Asset Reconstruction and Security interest of India ('CERSAI') has been authorized by Government of India to act as Central KYC Records Registry under Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 ('PMLA Rules').

SEBI vide its circular ref. no. CIR/MIRSD/66/2016 dated July 21, 2016 and circular ref. no. CIR/MIRSD/120/2016 dated November 10, 2016 has prescribed that the Alternative Investment Fund should capture KYC information for sharing with CKYCR as per the KYC template prescribed by CERSAI.

In accordance with the aforesaid SEBI circulars

- a) Individual investors who have never done KYC process under KRA regime i.e. a new investor who is new to KRA system and whose KYC is not registered or verified in the KRA system shall be required to provide KYC details in the CKYC Form to the Alternative Investment Fund.
- b) Individual investor who fills old KRA KYC Form, should provide additional/missing information using Supplementary KYC Form or fill CKYC Form.
- c) Details of investors shall be uploaded on the system of CKYCR and a 14-digit unique KYC identifier ('KIN') will be generated for such customer.
- d) New investors, who have completed CKYC process & have obtained KIN may quote their KIN in the application form instead of submitting CKYC Form/Supplementary KYC Form.
- e) XXXXXX shall use the KIN of the Contributor/s to download the KYC information from CKYCR system and update its records.

XXXXXX reserves the right to reject transaction application in case the Contributor/s fails to submit information and/or documentation as mentioned above. In the event of non-compliance of KYC requirements, the Trustee/Investment Manager reserves the right to freeze the folio of the Contributor/s.

## **8. REAL TIME GROSS SETTLEMENT/NATIONAL ELECTRONIC FUNDS TRANSFER(RTGS/NEFT):**

Funds Transfer shall be effected only if the recipient/destination Bank/Branch is participating in RTGS/NEFT. It is the responsibility of the Contributor/s to ensure the correctness of the message, especially the IFSC code of the recipient/destination branch & account number. The collecting bank as well as Fund will get valid discharge if the amount is credited to the account number mentioned in the Application even if the name of the Contributor/s account holder differs. Fund/Investment Manager shall not assume any liability or responsibility arising out of or made liable for any incorrect request or message. If the date of payment happens to be a holiday at the centre where the recipient branch is situated, the credit will be passed on to the Contributor on next working day. Fund/Investment Manager shall not be liable for delay in payments to the Contributor if:

- I. Incorrect and insufficient details are provided.
- II. If there is dislocation of work due to circumstances beyond the control of Remitting/Destination Banks including but not limited to circumstances like non-functioning of computer system, disruption of work due to natural calamities, strike, riot etc., or Network or internet problem or other causes beyond the control of the Branch/bank resulting in disruption of communication, such cases will be settled on the next working day when RTGS/NEFT is functioning properly. The Contributor/s hereby agrees and undertakes that he is aware of all the RTGS/NEFT rules set by RBI & to abide by all the rules, terms, conditions and administrative guidelines issued or which may be issued by the RBI or any other regulatory authorities applicable to the transactions relating to RTGS/NEFT whether directly or/and indirectly.

## **9. Accounts of Minors:**

The minor shall only be the sole Contributor in a folio. Joint Contribution is not allowed. Details of the natural parent viz., father or mother or court appointed Legal Guardian must be mentioned for investments made on behalf of a minor.

Date of birth of the minor along with photocopy of supporting documents (i.e. Birth certificate, School leaving certificate/Mark sheet issued by Higher Secondary Board of respective states,

ICSE, CBSE etc., Passport, or any other suitable proof evidencing the date of birth of the minor) should be provided while opening the folio.

In case of a natural parent, documents evidencing the relationship of the natural parent with the minor, if the same is not available as part of the documents mentioned above should be submitted. In case of court appointed legal guardian, supporting documentary evidence should be provided.

The folio(s) held on behalf of a minor Contributor shall be frozen for operation by the natural parent/legal guardian on the day the minor attains majority and no transactions henceforth shall be permitted till requisite documents evidencing change of status from 'minor' Contributor are received.

## **10. APPLICATIONS UNDER POWER OF ATTORNEY (POA):**

Contributor/s wanting to transact through a Power of Attorney (POA) must lodge the photocopy of the Power of Attorney (POA) attested by a Notary Public along with the application, in case of application submitted is duly signed by POA holder. Applications are liable to be rejected if the power of attorney is not submitted.

## **11. JOINT CONTRIBUTORS:**

AIF may accept the following as joint investors for the purpose of investment of not less than one crore rupees:

List of Exempted Contributors: -

- an investor and his/her spouse
- an investor and his/her parent
- an investor and his/her daughter/son

With respect to the above investors, not more than 2 persons shall act as joint- investors in an AIF. In case of any other investors acting as joint investors, for every investor, the minimum investment amount of one crore rupees shall apply. A minor cannot be the Joint Contributor.

## **12. Investments by Foreign Portfolio Investors (FPIs)/Non-Resident Individuals (NRIs)/Person of Indian Origin (PIOs):**

FPIs/NRIs/PIOs may invest in Category XXXXX Alternative Investment Fund as per the regulations/laws applicable to them from time to time. Please get in touch with XXXXXX for further details.

## **13. Prevention of Money Laundering:**

SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 and other circulars issued from time to time, mandated that all intermediaries including Alternative Investment Funds should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Customer (KYC) policy.

The Contributor/s should ensure that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act (PMLA), Prevention of Corruption Act and/or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the Contributor/s and with a view to monitor transactions for the prevention of money laundering, XXXXXX/Fund reserves the right to seek information, record Contributor/s telephonic calls and or obtain and retain documentation for establishing the identity of the Contributor/s, their beneficial ownership, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The Fund, Electrum Portfolio Managers Private Limited, Trustee and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios/rejection of any application/allotment of Units or mandatory redemption of Units due to non-compliance with the provisions of the PMLA, SEBI circular(s) and KYC policy and/or where Electrum Portfolio Managers Private Limited believes that transaction is suspicious in nature within the purview of the PMLA and SEBI/AMFI circular(s) and reporting the same to Financial Intelligence Unit - India FIU-IND.

**PRIVATE PLACEMENT MEMORANDUM**  
**OF**  
**AIF \_\_\_\_\_**  
**By Electrum Portfolio Trust**

(An Open-Ended Scheme of Electrum Portfolio Trust India Equity Fund, a Trust organized in India and registered with Securities and Exchange Board of India (SEBI) as Category III Alternative Investment Fund) vide registration number IN/AIF3/24-25/1753 dated 06/03/2025.

**Investment Manager: Electrum Portfolio Managers Private Limited**

This Private Placement Memorandum is prepared and being furnished to a limited number of prospective investors on a confidential basis to consider an investment in Units of AIF \_\_\_\_\_ (An Open Ended, Category III Alternative Investment Fund of Electrum Portfolio Trust India Equity Fund, a trust organized under the Indian Trust Act, 1882 which is registered as a Category III - Alternative Investment Fund ("Category III - AIF") with SEBI under SEBI (Alternative Investment Funds) Regulations, 2012, vide registration number IN/AIF3/24-25/1753 dated 06/03/2025 and may not be used for any other purpose. This Memorandum shall not be reproduced or provided to others without the prior written permission of the Investment Manager.

Potential investors should carefully review this Memorandum before subscribing to Units of the Fund.

By accepting delivery of this Memorandum, each prospective investor agrees to the foregoing.

Memorandum Dated: 06/03/2025 Updated on: DD/MM/YYYY Copy No: \_\_\_\_\_

Primary Contributor/ Guardian/POA Signature	Joint Contributor 1 Signature	Joint Contributor 2 Signature
--	-------------------------------	-------------------------------

Name: \_\_\_\_\_ Name: \_\_\_\_\_ Name: \_\_\_\_\_

Date : DD/MM/YYYY Date : DD/MM/YYYY Date : DD/MM/YYYY

Place : \_\_\_\_\_ Place : \_\_\_\_\_ Place : \_\_\_\_\_

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## FORM FOR NOMINATION/CANCELLATION OF NOMINATION/CHANGE OF NOMINATION

(To be filled in by Contributor/s applying singly or jointly)

Folio No. \_\_\_\_\_ Application No. \_\_\_\_\_

I/We \_\_\_\_\_ Primary Contributor Name \_\_\_\_\_, Joint Contributor 1 Name \_\_\_\_\_  
 and \_\_\_\_\_ Joint Contributor 2 Name \_\_\_\_\_ do hereby,

- Nominate the person/s more particularly described hereunder in respect of folio (application) held by me/us as provided herein. I/We also understand that all payments and settlements made to such Nominee (upon such documentation) shall be a valid discharge by the Investment Management Company.
- Cancel the nomination made by me/us earlier in respect of units held by me/us in the folio.
- Do not wish to make a nomination.

	Nominee 1	Nominee 2	Nominee 3
<b>Name</b> (as per PAN Card)			
<b>Date of Birth</b>	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
<b>PAN</b>			
<b>Relationship with Primary Contributor</b>			
<b>Allocation %</b> (Total to be 100%)			
<b>Guardian Name*</b>			
<b>Nominee/Guardian Address*</b>			
	Pincode	Pincode	Pincode
<b>Guardian's Relationship with Nominee*</b>	<input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	<input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	<input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian
<b>Proof of relationship*</b> <small>(Mandatory to attach proof)</small>	<input type="checkbox"/> Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others <u>Specify</u>	<input type="checkbox"/> Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others <u>Specify</u>	<input type="checkbox"/> Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others <u>Specify</u>
<b>Signature of the Guardian*</b>			

\* Details to be filled only if the Nominee is a Minor.

Primary Contributor/Guardian Signature	Joint Contributor 1 Signature	Joint Contributor 2 Signature
--	-------------------------------	-------------------------------

Date : \_\_\_\_\_ DD/MM/YYYY \_\_\_\_\_

Place: \_\_\_\_\_

## INSTRUCTIONS FOR NOMINATION

1. The nomination should be made by all individuals applying for/holding units on their own behalf singly or jointly.
2. Non-Individuals including a Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu undivided family, a Power of Attorney holder and/or Guardian of Minor unitholder cannot nominate.
3. Nomination is not allowed in a folio of a Minor unitholder.
4. If the units are held jointly (i.e., in case of multiple unitholders in the folio), all joint holders need to sign the Nomination Form (even if the mode of holding/operation is on "Anyone or Survivor" basis).
5. A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee needs to be provided.
6. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
7. The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder.
8. A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
9. Multiple Nominees: Nomination can be made in favour of multiple nominees, subject to a maximum of three nominees. In case of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals, adding upto a total of 100%. If the total percentage of allocation amongst multiple nominees does not add up to 100%, the nomination request shall be treated as invalid and rejected. If the percentage of allocation/share for each of the nominee is not mentioned, the allocation/claim settlement shall be made equally amongst all the nominees.
10. Every new nomination for a folio/account shall overwrite the existing nomination, if any.
11. Nomination made by a unit holder shall be applicable for units held in all the schemes under the respective folio/account.
12. Nomination shall stand rescinded upon the transfer of units.
13. Death of Nominee/s: In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, the said nominee's share will be distributed equally amongst the surviving nominees.
14. Transmission of units in favour of a Nominee shall be valid discharge by the Investment Management Company (IMC) against the legal heir(s). Where upon transmission any Nominee holding less than minimum regulatory prescribed investment, such Nominee will need to opt for redemption and/or make additional subscription to ensure minimum prescribed regulatory limit/PPM prescribed limit for minimum investment.
15. Cancellation of Nomination: Request for cancellation of Nomination made can be made only by the unitholders. The nomination shall stand rescinded on cancellation of the nomination and the IMC shall not be under any obligation to transfer/transmit the units in favour of the Nominee.
16. Unitholders who do not wish to nominate are required to confirm the same by indicating their choice in the space provided in the nomination form.
17. The nomination will be registered only when this form is completed in all respects to the satisfaction of the IMC.
18. In respect of folios/accounts where the Nomination has been registered, the IMC will not entertain any request for transmission/claim settlement from any person other than the registered nominee(s), unless so directed by any competent court.
19. The Investment Manager has not been privy to any documents of succession, will, power of attorney, or any other such document and therefore shall not be governed by them or be liable to or be responsible for any legal heirs, executors, administrators and/or successors mentioned therein.







## TERMS & CONDITIONS

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the folio(s) or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information. Further if you are a Citizen or resident or green card holder or tax resident other than India, please include all such countries in the tax resident country information field along with your Tax Identification Number or any other relevant reference ID/Number. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case investor has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, investor to provide relevant Curing Documents as mentioned below:

FATCA/CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document <b>evidencing nationality or citizenship</b> (refer list below); and</li> <li>3. <b>Any one</b> of the following documents: <ol style="list-style-type: none"> <li>a. Certified Copy of "Certificate of Loss of Nationality" or</li> <li>b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth</li> </ol> </li> </ol>
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b>If no Indian telephone number is provided</b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b>If Indian telephone number is provided along with a foreign country telephone number</b></p> <ol style="list-style-type: none"> <li>1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident

### FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM FOR NON-INDIVIDUALS

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

<b>Name of the Entity</b>											
<b>Type of address given at KRA</b>	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office							
<b>PAN</b>											
	<b>Date of Incorporation</b>			D	D	M	M	Y	Y	Y	Y
City of Incorporation						Country of Incorporation					

#### FATCA & CRS Declaration

Please tick the applicable tax resident declaration -

Is "Entity" a tax resident of any country other than India <input type="checkbox"/> YES <input type="checkbox"/> NO (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)			
Sr. No	Country of Tax Residency	Tax Identification Number (TIN)^	Identification Type [TIN or other^, please specify]
1.			
2.			
3.			
4.			

^ In case Tax Identification Number (TIN) is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Intermediary Identification Number (GIIN), etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

#### PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1.	We are a, Financial institution (Refer 1 of Part C) <input type="checkbox"/> or Direct reporting NFE (Refer 3(vii) of Part C) <input type="checkbox"/> (please tick as appropriate)	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> <div style="text-align: center; color: #ccc;">GIIN</div> </div> <p><b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below</p> <p><b>Name of Sponsoring Entity</b></p> <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div>
	<b>GIIN not available</b> (please tick as applicable)	<input type="checkbox"/> Applied for <span style="margin-left: 100px;"><input type="checkbox"/> Not obtained – Non-participating FI</span>  <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category (Refer 1 A of Part C) <span style="float: right; border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></span>

**PART B (please fill any one as appropriate “to be filled by NFEs other than Direct Reporting NFEs”)**

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	YES <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) <table border="1" data-bbox="544 506 1519 555"> <tr> <td data-bbox="544 506 826 555"><b>Name of Stock Exchange</b></td> <td data-bbox="826 506 1519 555"></td> </tr> </table>	<b>Name of Stock Exchange</b>						
<b>Name of Stock Exchange</b>									
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	YES <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) <table border="1" data-bbox="544 734 1519 784"> <tr> <td data-bbox="544 734 826 784"><b>Name of Listed Company</b></td> <td data-bbox="826 734 1519 784"></td> </tr> </table> <table border="1" data-bbox="544 797 1519 869"> <tr> <td data-bbox="544 797 826 869"><b>Nature of Relation:</b></td> <td data-bbox="826 797 1171 869"><input type="checkbox"/> Subsidiary of the Listed Company or</td> <td data-bbox="1171 797 1519 869"><input type="checkbox"/> Controlled by a Listed Company</td> </tr> </table> <table border="1" data-bbox="544 882 1519 931"> <tr> <td data-bbox="544 882 826 931"><b>Name of Stock Exchange</b></td> <td data-bbox="826 882 1519 931"></td> </tr> </table>	<b>Name of Listed Company</b>		<b>Nature of Relation:</b>	<input type="checkbox"/> Subsidiary of the Listed Company or	<input type="checkbox"/> Controlled by a Listed Company	<b>Name of Stock Exchange</b>	
<b>Name of Listed Company</b>									
<b>Nature of Relation:</b>	<input type="checkbox"/> Subsidiary of the Listed Company or	<input type="checkbox"/> Controlled by a Listed Company							
<b>Name of Stock Exchange</b>									
3.	Is the Entity an active NFE (Refer 2c of Part C)	YES <input type="checkbox"/> <table border="1" data-bbox="544 1037 1519 1086"> <tr> <td data-bbox="544 1037 826 1086"><b>Nature of Business</b></td> <td data-bbox="826 1037 1519 1086"></td> </tr> </table> Please specify the sub-category of Active NFE <table border="1" data-bbox="1070 1099 1193 1167"> <tr> <td data-bbox="1070 1099 1129 1167"></td> <td data-bbox="1129 1099 1193 1167"></td> </tr> </table> (Mention code – refer 2c of Part C)	<b>Nature of Business</b>						
<b>Nature of Business</b>									
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	YES <input type="checkbox"/> <table border="1" data-bbox="544 1272 1519 1321"> <tr> <td data-bbox="544 1272 826 1321"><b>Name of Business</b></td> <td data-bbox="826 1272 1519 1321"></td> </tr> </table>	<b>Name of Business</b>						
<b>Name of Business</b>									

**UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)**

**Category (Please tick applicable category):**  Unlisted Company  Partnership Firm  Limited Liability Partnership Company  
 Unincorporated association / body of individuals  Public Charitable Trust  Religious Trust  Private Trust  
 Others Specify

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)  
 Owner-documented FI's should provide FI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C) (In case of additional UBOs, please attach additional UBO page)

Details	UBO1	UBO2	UBO3																		
<b>Name of UBO</b>																					
<b>UBO Code</b> (Refer 3(iv) (A) of Part C)																					
<b>Country of Tax residency*</b>																					
<b>PAN#</b>																					
<b>Address</b>	State: _____ Country: _____ Zip/Pincode <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>							State: _____ Country: _____ Zip/Pincode <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>							State: _____ Country: _____ Zip/Pincode <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>						
<b>Address Type</b>	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office																		
<b>Tax ID%</b>																					
<b>Tax ID Type</b>																					
<b>City of Birth</b>																					
<b>Country of Birth</b>																					
<b>Occupation Type</b>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <u>Specify</u>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <u>Specify</u>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <u>Specify</u>																		
<b>Nationality</b>																					
<b>Father's Name</b>																					
<b>Gender</b>	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others																		
<b>Date of Birth</b>	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY																		
<b>Percentage of Holding (%)<sup>§</sup></b>																					

\* To include US, where controlling person is a US citizen or green card holder.  
 # If UBO is not KYC compliant, PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.  
 % In case Tax Identification Number is not available, kindly provide functional equivalent.  
 § Attach valid documentary proof like Shareholding pattern duly self-attested by Authorized Signatory/Company Secretary.



## PART C FATCA Instructions & Definitions

### 1. Financial Institution (FI)

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

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution: is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-
  - (i) The three financial years preceding the year in which determination is made; or
  - (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:
  - ✓ That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
    - (ii) Individual and collective portfolio management; or
    - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;
  - or
  - ✓ The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

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

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

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

- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract

• FI not required to apply for GIIN:	
A. Reasons why FI not required to apply for GIIN:	
Code	Sub-category
1	Governmental Entity, International Organization or Central Bank
2	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
3	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
4	Entity is an Indian FI solely because it is an investment entity
5	Qualified credit card issuer
6	Investment Advisors, Investment Managers & Executing Brokers
7	Exempt collective investment vehicle
8	Trustee of an Indian Trust
9	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

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

Types of NFEs that are regarded as excluded NFE are:

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

### 3. Other definitions

(i) Related entity

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

(ii) Passive NFE

The term passive NFE means

- (1) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or
  - (2) an investment entity defined in clause (1) of these instructions
  - (3) a withholding foreign partnership or withholding foreign trust;
- (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income includes income by way of :

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

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

(iv) Controlling persons

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

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of/entitlements to:

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

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

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

<i>(A) Controlling Person Type (UBO):</i>	
UBO Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-other equivalent

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

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

(vi) Owner documented FI

An FI meets the following requirements:

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

(vii) Direct reporting NFE

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

(viii) Exemption code for U.S. persons

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



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