



**Relitrade Stock Broking Private Limited**

RELITRADE HOUSE, 2nd FLOOR, 'O' BLOCK, MONDEAL RETAIL PARK, S.G.HIGHWAY, AHMEDABAD - 380 059, GUJARAT, INDIA.

**Declaration Form Of Ultimate Beneficial Ownership [UBO]/Controlling Persons**

**I: Investor details:**

Investor Name										
PAN (Mandatory)										

**II: Category**

Our Company is a Listed Company on a recognized stock exchange in india/ subsidiary of a or Controlled by a Listed Company [If this category is selected, no need to provide UBO details].

Name of the Stock Exchange Where it is listed. \_\_\_\_\_ Others \_\_\_\_\_

Security ISIN \_\_\_\_\_

Name of the Listed Company(applicable if the investor is subsidiary/associate): \_\_\_\_\_

Unlisted Company       Partnership Firm / LLP       Unincorporated association / body of individuals

Public Charitable Trust       Private Trust       Religious Trust       Trusted created by a Will.

Others[Please Specify] \_\_\_\_\_

**UltimateBeneficiaryOwner(UBO)/ControllingPerson(s)/SeniorManagingOfficialdetails.**

**Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit?#      Yes      No**

If 'YES' - we hereby declare that the following individual holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.

If 'NO' - Declare that no individual person(directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior managing Official (SMO) are provided below.

	UBO-1 / Senior Managing Official (SMO)	UBO-2	UBO-3
Name of the UBO / SMO#.			
UBO / SMO PAN#. For Foreign National, TIN to be provided]			
UBO / SMO Country of Tax Residency#.			
UBO / SMO Taxpayer Identification Number / Equivalent ID Number#.			
UBO / SMO Identity Type			
UBO / SMO Place & Country of Birth#	Place of Birth Country of Birth	Place of Birth Country of Birth	Place of Birth Country of Birth
UBO / SMO Nationality			
UBO / SMO Date of Birth [dd-mmm-yyyy]#			
UBO / SMO PEP#	PEP. Related to PEP. Not a PEP.	PEP. Related to PEP. Not a PEP.	PEP. Related to PEP. Not a PEP.
UBO / SMO Address Type	Residence Business Registered Office.	Residence Business Registered Office.	Residence Business Registered Office.
UBO / SMO Occupation	Public Service Private Service Business Others	Public Service Private Service Business Others	Public Service Private Service Business Others
SMO Designation#			
UBO / SMO KYC Complied**. If not complied, please complete KYC process independently and then submit the proof.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.

# Mandatory column.

\*\* In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.  
Participating Mutual Fund(s) / RTA may call for additional information/documentation whenever required or if a given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information.

	UBO-4	UBO-5	UBO-6
Name of the UBO / SMO#.			
UBO / SMO PAN#. For Foreign National, TIN to be provided]			
UBO / SMO Country of Tax Residency#.			
UBO / SMO Taxpayer Identification Number / Equivalent ID Number#.			
UBO / SMO Identity Type			
UBO / SMO Place & Country of Birth#	Place of Birth Country of Birth	Place of Birth Country of Birth	Place of Birth Country of Birth
UBO / SMO Nationality			
UBO / SMO Date of Birth [dd-mmm-yyyy]#			
UBO / SMO PEP#	PEP. Related to PEP. Not a PEP.	PEP. Related to PEP. Not a PEP.	PEP. Related to PEP. Not a PEP.
UBO / SMO Address Type	Residence Business Registered Office.	Residence Business Registered Office.	Residence Business Registered Office.
UBO / SMO Occupation	Public Service Private Service Business Others	Public Service Private Service Business Others	Public Service Private Service Business Others
SMO Designation#			
UBO / SMO KYC Complied**. <small>If not complied, please complete KYC process independently and then submit the proof.</small>	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.

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**Declaration**

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employee / RTAs ('the Authorized parties') or any Indian or Foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India whenever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries / or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:

Name:  Designation:
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Name:  Designation:
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Name:  Designation:
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Name:  Designation:
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Name:  Designation:
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Name:  Designation:
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Place: \_\_\_\_\_

Date: \_\_/\_\_/\_\_\_\_