



# ARHAM

SHARE CONSULTANTS PVT. LTD.  
Member : BSE, NSE & CDSL

COMMODITY BROKERS PVT. LTD.  
Member : MCX, ICEX

U-6-7-8, Jolly Plaza, Athwa Gate, Surat-395 001.

## FATCA / CRS Declaration for Non Individual

Client code: \_\_\_\_\_  
Client Name: \_\_\_\_\_  
Client Address: \_\_\_\_\_  
PAN Number: \_\_\_\_\_  
Contact Number: \_\_\_\_\_

### Section 1: Identification Details

Please tick / fill and complete as appropriate.

- a) Name of the Entity: \_\_\_\_\_
- b) Nature of Business (kindly fill in details from Annexure 5): \_\_\_\_\_
- c) Identification Number: \_\_\_\_\_
- d) Identification issuing Country: \_\_\_\_\_
- e) Identification Type (tick as applicable): Tax Identification Number   
US GIIN       Company Identification Number   
Global entity Identification No.       Other

### Section 2: Declaration of Tax Residency

Please indicate the Entity's country of tax residence (if resident in more than one country please detail all countries and associated tax identification number and TIN issuing country)

Country/Countries of Tax Residency	Tax Identification Number (TIN)	TIN Issuing Country

(Kindly attach documentary evidence of country of tax residence and the tax identification number)

### If tax resident of Country outside India, kindly provide confirmation as under:

- 1) If US tax resident, are you US Specified Person -  Yes  No  
(If No, Kindly tick Exclusion from Annexure 1) - (i) / (ii) / (iii) / (iv) / (v) / (vi) / (vii) / (viii) / (ix) / (x) / (xi) / (xii) / (xiii) .
- (2) If tax resident of country other than USA, kindly tick if any of the following is applicable:
  - 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 mentioned in item
  - a Governmental entity;  an International organisation;  a Central bank; or  a financial institution

### Section 3: Entity Classification

- 3.1 If you are a reporting Financial Institution, please tick atleastone of the below categories, and provide your FATCA Global Intermediary Identification Number (GIIN):  
 Depository Institution       Custodial Institution       Investment Entity       Specified Insurance Company   
 GIIN \_\_\_\_\_
- 3.2 If you are a Financial Institution but are non-reporting financial institution, please tick one of the below reasons:
  - The Entity is a Non-Reporting Financial Institution. Please tick exemption from Annexure 2: (a) / (b) / (c) / (d) / (e) / (f) / (g) / (h) / (i) / (j) / (k) / (l) / (m).
  - The Entity is a Sponsored Financial Institution and has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide the Sponsoring Entity's name and GIIN.  
 Sponsoring Entity's Name: \_\_\_\_\_      Sponsoring Entity's GIIN: \_\_\_\_\_
  - The Entity is a Trustee Documented Trust and has not yet obtained a GIIN. Please provide the Trustee's name and the GIIN  
 Name of the Trustee of the Trust: \_\_\_\_\_      GIIN of the Trustee: \_\_\_\_\_
- 3.3  The Entity is an owner documented Financial Institution. Please provide the details of each of the substantial owners of the financial institution in the form for Controlling Persons attached.
- 3.4  The Entity is a Non-Participating Financial Institution
- 3.5 If the Entity is not a Financial Institution, please confirm the Entity's status below:
  - The Entity is an Active Non-Financial Entity (Please tick as per Annexure 3) (i) / (ii) / (iii) / (iv) / (v) / (vi) / (vii) / (viii)

The Entity is a Passive Non-Financial Entity (NFE)(Please tick as per Annexure 3A): (i) / (ii) / (iii).

If **Passive Entity is ticked** please fill the Form of all Controlling Persons<sup>1</sup>:

Controlling Person Self-Certification AND tick the below:

Controlling Persons of the Entity are tax resident of India

Controlling Persons of the Entity are tax resident of USA

Controlling Persons of the Entity are tax resident of countries other than India and USA.

Kindly specify the countries \_\_\_\_\_ of which the controlling persons are tax resident of \_\_\_\_\_  
(if more than one, list of all countries should be specified.)

The Entity is Direct reporting NFE. If ticked, please provide the GIIN of the Direct Reporting NFE \_\_\_\_\_

**To be filled in by the Controlling Person**

1. Controlling Person Type:

a) In case of legal Person:  Ownership  Other means  Senior Managing Official

b) In case of legal Arrangement - Trust:  Settlor  Trustee  Protector  beneficiary  Others

c) In case of legal Arrangement - others  Settlor equivalent  Trustee equivalent  Protector equivalent  beneficiary equivalent  
 Others equivalent

(d)  Unknown

2. Full Name of the Controlling Person: \_\_\_\_\_ 3. Customer ID, if allotted: \_\_\_\_\_

4. Gender:  Male  Female  Others 5. PAN: \_\_\_\_\_ 6. Aadhaar No: \_\_\_\_\_

7. Identification Type (tick and provide as proof of identity):  A-Passport  3- Election ID Card  C- PAN Card  D- ID Card  E- Driving License

F -UIDAI letter  G-NREGA Job Card  H- Others  X- Not categorised

8. Identification Number (mentioned in identification document): \_\_\_\_\_

9. Occupation Type:  S-Service  B-Business  O-Others  X- Not categorised

10. Date of Birth (DD/MM/YYYY): \_\_\_\_\_ 11. Nationality: \_\_\_\_\_

12. Place of Birth: \_\_\_\_\_ 13. Country of Birth: \_\_\_\_\_

14. Address Type of Controlling Person:

1-Residential or Business  2-Residential  3-Business  4- Registered Office  5-Unspecified.

16. Address \_\_\_\_\_ of \_\_\_\_\_ Controlling \_\_\_\_\_ Person: \_\_\_\_\_

17. Mobile/Telephone Number: \_\_\_\_\_

18. Please indicate the Country of tax residence (if resident in more than one country please detail all countries and associated tax identification number and TIN issuing country).

Country/countries of Tax Residency	Tax Identification Number (TIN)	TIN Issuing Country

(Kindly attach documentary evidence of country of tax residence and the tax identification number)

**Undertaking**

I / We certify that:

- a) the information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.
- b) the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- d) I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self-certification alongwith documentary evidence.
- e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) / RBI for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.
- f) I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
- g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.

- i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.
- j) I / We certify that I/we have the capacity to sign for the Entity as per CBDT rules/SEBI guidelines.

Authorised Signature: \_\_\_\_\_

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

Position/Title: \_\_\_\_\_

Date: (dd/mm/yyyy) \_\_\_\_\_

**Seal and Stamp of the Entity**

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<sup>1</sup>Controlling persons means natural persons who exercise control over an entity who includes a beneficial owner as defined in Explanation to sub-rule (3) of rule 9 Prevention of Money-laundering (Maintenance of Records) Rules, 2005. In determining the beneficial owner the procedure specified in the RBI/SEBI/IRDA circulars shall be applied. In the case of Trust, the controlling persons mean the settlor, the trustees, the protector, the beneficiaries or class of beneficiaries and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent position.