

Declaration for Ultimate Beneficial Ownership (UBO)

(Mandatory for Non-individual Applicant / Investor)

To be filled in BLOCK LETTERS (Please strike off section(s) that is/are not applicable)

art I: Applic	cant/Investor details:						
nvestor Name:							
PAN							
art II: Liste	d Company / its subsidiary co	mpany (Part III Details	s NOT APPLICABLE)				
i) I/ We hereby	declare that -						
Our co	company is a Listed Company listed on recognized stock exchange in India						
Our co	mpany is a subsidiary of the Listed Company						
Our co	empany is controlled by a Listed Com	npany					
	sted Company [^]						
	ange on which listed			SIN			
	holding/parent company to be provid	• • • • • • • • • • • • • • • • • • • •	* .	y.			
	individuals other than Listed	Company / its subsid	iary company				
	[ü applicable category]:						
	. ,		mited Liability Partnership Cor				
Unin	acorporated association / body of ind		ıblic Charitable Trust	Religious Trust			
Priva	ate Trust Cre	eated by a Will Ot	hers			[please specif	
	Ultimate Beneficiary Owners: he space provided is insufficient, ple	asa pravida tha information	n by attaching congrete deels	ration forms)			
Sr. No.	Name of UBO (Mandatory)	PAN or any other valid ID proof for those where PAN is not applicable# (Mandatory)	Position / Designation (to be provided wherever applicable)	Applicable Period	UBO Code (Mandatory) (Refer instruction 3)	KYC (Yes/No) (Please attach KYC acknowledgement copy) (Refer	
						instruction 2)	
	ocuments should be self - certified by	the UBO and certified by	the Applicant/Investor Authori	zed Signatory/ies.			
Part IV: De	eclaration						
information is and/or revers form with all \$	vledge and confirm that the informatinal refound to be false/incorrect and/ se the allotment of units and the AMC. SEBI Registered Intermediaries and the rune, with no declaration to submit. I/W	or the declaration is not pro Mutual Fund/Trustee shall hey can rely on the same. In	ovided, then the AMC/Trustee not be liable for the same. I/W case the above information is	n/Mutual Fund shall reso e hereby authorize shar not provided, it will be p	erve the right to ing of the inform resumed that ap	reject the application ation furnished in this plicant is the ultimate	
also undertal	ke to provide any other additional info	mation as may be required	at your end.	y changes/mountailon	to the above fill	auominiuture dilu	
Authorized S	ignatories [with Company/Trust/Firm	Body Corporate seal]					
	· · · · · · · · · · · · · · · · · · ·						
※		⊗		⊗		Applicant	
Date: D I	D M M Y Y Place:						

General Information & Instructions

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No.CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

1. Ultimate Beneficiary Owner [UBO]:

A. For Investors other than individuals or trusts:

- (I) The identity of the 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. Controlling ownership interest means ownership of/entitlement to:
 - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - 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.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler 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.

C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

2. KYC requirements

Beneficial Owner(s) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s).

3. UBO Codes:

UBO Code	Description
UBO-1	Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company
UBO-2	Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership
UBO-3	Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an unincorporated association or body of individuals
UBO-4	Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO - 3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
UBO-5	Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]
UBO-6	The settlor(s) of the trust
UBO-7	Trustee(s) of the Trust
UBO-8	The Protector(s) of the Trust [if applicable].
UBO-9	The beneficiaries with 15% or more interest in the trust if they are natural person(s)
UBO-10	Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

For any queries / clarifications, Please contact the nearest Investor Service Centres (ISCs) of the AMC or call at toll free number 1800 300 11111 or log on to our website www.reliancemutual.com