

# Fortis Investments



## PORTFOLIO MANAGEMENT SERVICES



Application Form - Non-Individual



### ◆ APPLICANT DETAILS

(Please fill in BLOCK LETTERS and tick ✓ boxes wherever applicable).

Name of Applicant :

Type of Body Corporate :  Public Company  Private Company  Society (Registered under Societies Registration Act)  
 Trust  Body of Individual (BOI)  Proprietary Firm  Association of Persons (AOP)  
 HUF  Others (please specify) \_\_\_\_\_

UIN Under MAPIN

PAN No.

(Proof of PAN - Mandatory)

Date of Incorporation / Registration

Country of Incorporation

Date of commencement of Business

Principal Place of Business

Nature of Business

- Manufacturing  Services Sector  Entities offering services involving money / currency exchange  
 Governments or governmental entities  Entities involved in the production or distribution of arms, other military products  
 Diamond and jewellery, political associations and entities involved in cash intensive business  
 Others (please specify) \_\_\_\_\_

No. of years in Business :

Years

### ◆ REGISTERED OFFICE ADDRESS (PO box address is not permitted) (Proof of Address - Mandatory)

Bldg. No./ Name

Street No. / Name

Area

City

Pin Code

State

Country

Tel.

Fax

Mobile No.

Email

### ◆ CORPORATE OFFICE ADDRESS (PO box address is not permitted) (Proof of Address - Mandatory)

Bldg. No./ Name

Street No. / Name

Area

City

Pin Code

State

Country

Tel.

Fax

Mobile No.

Email

### ◆ CORRESPONDENCE ADDRESS (PO box address is not permitted) (Proof of Address - Mandatory)

Correspondence Address is same as :  Registered Office Address  Corporate Office Address

Bldg. No./ Name

Street No. / Name

Area

City

Pin Code

State

Country

Tel.

Fax

#### Details of Contact Person (for regular communications)

Name

Designation held

Tel.

Fax

Mobile No.

Email

### ◆ BANK ACCOUNT DETAILS

(Preferably of the Account from where the corpus is received) (Proof of Bank Account details-Mandatory)

Bank Name

Bank Address

Account No.  Account Type :  Current  Others

*(In case of multiple accounts, please provide the details on a separate sheet)*

### ◆ DEMAT ACCOUNT DETAILS

(Preferably of the Account from where the corpus is received) (Proof of Demat Account details-Mandatory)

Depository Participant Name

Depository Participant ID.

Client ID.

*(In case of multiple accounts, please provide the details on a separate sheet)*

### ◆ INVESTMENT OPTION CHOSEN BY APPLICANT

Name of Product

Indicative Investment Amount

### ◆ INVESTMENT PROFILE

Investment Experience  < 3 years  3-5 years  > 5 years

Market Value of Portfolio held  < Rs.1 Crore  Rs.1 Crore - 5 Crores  Rs.5 Crores - 25 Crores  > Rs. 25 Crores

Investment Objective  Capital Appreciation  Regular Income  Capital Appreciation and Regular Income

Detailed Investment Objective  Equity  Balanced  Debt  Mutual Funds

Venture Funds  Others

Risk Tolerance  High  Medium  Low

Systematic Withdrawal Plan  Monthly  Quarterly  Half Yearly  Annually

Expected Time Period of Investment with Fortis Investments PMS Account  Month/Years

Indicative Investment Percentage with Fortis Investments PMS Account (Optional)  %

### ◆ ANNUAL INCOME AND NET WORTH FOR THE LAST 3 YEARS

Year	Annual Income (Rs.)		Net Worth (Rs.)*	
20__ - __	<input type="checkbox"/> < 1 Cr. <input type="checkbox"/> 5 Crs. - 25 Crs.	<input type="checkbox"/> 1 Cr - 5 Crs. <input type="checkbox"/> Above 25 Crs.	<input type="checkbox"/> < 10 Crs. <input type="checkbox"/> 50 Crs. - 100 Crs.	<input type="checkbox"/> 10 Crs. - 50 Crs. <input type="checkbox"/> Above 100 Crs.
20__ - __	<input type="checkbox"/> < 1 Cr. <input type="checkbox"/> 5 Crs. - 25 Crs.	<input type="checkbox"/> 1 Cr - 5 Crs. <input type="checkbox"/> Above 25 Crs.	<input type="checkbox"/> < 10 Crs. <input type="checkbox"/> 50 Crs. - 100 Crs.	<input type="checkbox"/> 10 Crs. - 50 Crs. <input type="checkbox"/> Above 100 Crs.
20__ - __	<input type="checkbox"/> < 1 Cr. <input type="checkbox"/> 5 Crs. - 25 Crs.	<input type="checkbox"/> 1 Cr - 5 Crs. <input type="checkbox"/> Above 25 Crs.	<input type="checkbox"/> < 10 Crs. <input type="checkbox"/> 50 Crs. - 100 Crs.	<input type="checkbox"/> 10 Crs. - 50 Crs. <input type="checkbox"/> Above 100 Crs.

\* Net worth as on the last date of the financial year

### ◆ DESCRIPTION OF THE ORIGIN OF YOUR WEALTH

- i. Sale of an asset (please describe the details of the asset, length of ownership, means of original purchase etc.)
- \_\_\_\_\_
- \_\_\_\_\_
- ii. Inheritance / Donations / Gift (please provide details of the date, individuals or organisations concerned and how the funds were **originally** accumulated)
- \_\_\_\_\_
- \_\_\_\_\_
- iii. Earning from a business (please name and describe the nature of the business, the duties performed and the period over which the earnings were **originally** accumulated)
- \_\_\_\_\_
- \_\_\_\_\_
- iv. Other (please provide similar detail as to the date of the investment)
- \_\_\_\_\_
- \_\_\_\_\_

## ◆ OTHER IMPORTANT INFORMATION

- a) In case you are a Special Purpose Vehicle / Trust / Established to act on behalf of / in the interest of others, please specify the entity structure and business rationale for such a legal vehicle structure \_\_\_\_\_
- b) Are you a listed company on a public Stock Exchange ?  Yes  No  
If yes, name of the stock exchange where listed \_\_\_\_\_
- c) Are you a regulated financial institution ?  Yes  No  
If yes, name of the Principal Regulator \_\_\_\_\_
- d) Are you a subsidiary of a holding company or parent company, or off-shore branch of a financial institution ?  Yes  No  
If yes, identity of the ultimate parent \_\_\_\_\_

## ◆ IN CASE THE PAYMENT IS MADE BY ANY PERSON OTHER THAN THE APPLICANT, PLEASE IDENTIFY THE NAME OF SUCH PERSON

Name

Relationship with the Applicant

I/We authorize you to treat the proceeds of the above mentioned cheque / funds / securities transfer as proceeds on behalf of the Applicant(s). I confirm the source of funds to be legal and not in contravention of any Act / Rules including Prevention of Money Laundering Act, 2002 (PMLA)

Signature   \_\_\_\_\_

**(We reserve the right to ask for supplementary evidence / details)**

## ◆ DECLARATION AND SIGNATURE(S)

I /We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I / We hereby declare that I am / we are not a US person, within the meaning of the United States Securities Act, 1933, as amended from time to time; and that I am / we are not applying on behalf of or as proxyholders of a person who is a US person.

I/We hereby declare that I am/ We are competent under the applicable laws and duly Authorised where required, to make this investment in the above mentioned portfolio. I/We hereby confirm that the proposed investment is being made from known, identifiable and legitimate sources of funds /income of mine/the HUF/ the Company/Trust/ Partnership only and I am / we are the rightful beneficial owner(s) of the funds and the resulting investments therefrom. The above-mentioned investment does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions or of the provisions of any law in Indian including but not limited to The Income Tax Act, the Prevention of Money Laundering Act, 2002, the Prevention of Corruption, 1988 Act and/or any other relevant rules/ guidelines notified in this regard or applicable laws enacted by the Government of India / any other regulatory body from time to time.

I/We hereby declare that all the information and particulars given by me/us in this application are true and I/We have not suppressed or hidden any fact whatsoever. I/We agree and undertake to immediately inform you if there is change in any of the information given in this application or in the Annexure(s) to this application. I/We also agree to furnish such further information as you or SEBI or the Stock Exchanges may require me/us to furnish from time to time.

I / we hereby understand and agree that if any of the aforesaid disclosures made/ information provided by me/us is found to be contradictory or non-reliable to the above statements or if I / we fail to provide adequate and complete information, the Portfolio Manager reserves the right to reject the application / withhold the investments made by me / us, to terminate the agreement that may be executed under Portfolio Management and/or to disclose/ report the relevant details to the competent authority and take such other actions as may be required to comply with the applicable law as the Portfolio Manager may deem proper at their sole option.

**Applicable to FIIs only** (please strike off if this part is not applicable to you) :

We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in our Non-Resident External / Ordinary Account / FCNR Account.

Date 

D	D	M	M	Y	Y	Y	Y
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Place

\_\_\_\_\_  
Authorised Signatory/ies  
(With Non - Individual Entity Rubber Stamp)

**Information About Karta of HUF / Authorised Partner(s) / Proprietor / Authorised Director(s) / Authorised Person(s) in case of Non-individual / Beneficial Owners owning / controlling 10% or more than 10% in the non-individual entity**

(In case of more than two directors/partners/authorised person(s), please use additional copies of this form)

Please affix your photograph & sign across it.

Name  (First)  (Middle)  (Last)

Sex :  Male  Female Date of Birth :         Place of Birth :

UIN Under MAPIN  PAN No.

Residential Address

Flat/Bldg. No./ Name

Street No. / Name  Area

City  Pin Code

State  Country  Nationality

Tel.  Fax

Mobile No.  Email

Designation held

Occupation  Service  Business / Profession  Others (please specify) \_\_\_\_\_

If neither Salaried nor Self Employed, whether :  Student  Housewife  Retired

Please tick(✓) if you are:  Politician / Ex-Politician  Military Official  Money Service Bureau  PSU Employee  
 Govt. Empl. Retd.  Govt. Empl./Officer  Dealers in high val. commo. - Arms, Bullion, Jewellery, etc.  
 Agriculturist  Forex Dealer  Other Cash Intensive Business like Hotels, Casinos etc.  Relatives/Associate of above

Percentage of Holding in case of UBO

Date

Place  X X \_\_\_\_\_  
Signature

**◆ OTHER INFORMATION**

- a) Are ownership shares of your ultimate parent co. traded in an unrestricted manner on a public stock exchange  Yes  No  Not Applicable
- b) Is the client's ultimate parent company a regulated Financial Institution  Yes  No  Not Applicable
- c) If yes identify the primary regulator / supervisor .....
- d) In case the beneficial owner is a non-individual, please fill additional form for the non-individual. Please drill down ultimate beneficial ownership upto a point that a natural person is reached.

**◆ INTRODUCER'S INFORMATION & SIGNATURE (FOR INTERNAL USE ONLY)**

Distributor Name

Code of the Introducer   
(if applicable)

Distributor Relationship Manager Name

Location  Branch

Relationship Manager's Name   
[Representative of Fortis Investment Management (India) Private Limited]

X X \_\_\_\_\_  
Relationship Manager's Signature  
Fortis Investment Management (India) Private Limited

## ◆ CORPORATE

### (3 sets of Certified True Copies of the following)

- ◆ PAN Card
- ◆ Latest Bank Account Statement
- ◆ Latest Demat Account Statement
- ◆ Address Proof - Any one of the following-
  - (1) Latest Utility bill other than mobile phone
  - (2) Latest Bank account statement
  - (3) Form No. 18 filed with ROC for any address change
- ◆ Certificate of Incorporation
- ◆ Memorandum and Articles of Association
- ◆ Board Resolution for appointment of Portfolio Managers and authorising them to invest in securities through PMS / Power of Attorney granted to its Managers / Officers / Employees to transact business on its behalf
- ◆ Authorised Signatory List and their proof of identity & address
  - ◆ Residential address proof.
  - ◆ Photograph
  - ◆ Signatures to be verified by current banker.
  - ◆ Proof of Identity
  - ◆ PAN Card of all Authorised signatories

### OTHER DOCUMENTS

- ◆ List of Beneficial owners holding more than 10% stake / controlling interest along with their identity and address proof. (In case of corporates holding more than 10% of the Client Shareholding, details upto individuals shareholdings holding)
- ◆ Form No. 32 with ROC receipt, in case the name of the Authorised directors does not appear in Memorandum and Articles of Association above.
- ◆ Latest audited annual report

#### Note:

1. All documents procured from the client apart from the documents mentioning "True Copy" should be authenticated as "OSV" (original sighted and verified) by FIMIL official.
2. Client - Portfolio Managers Agreement should be executed within a period of 6 months from the date of franking.
3. Investment instrument should be in favour of "Fortis Investment Management Account PMS".
4. It is mandatory to open a separate DP account for each Client, which shall be opened by Fortis Investments Portfolio Managers on best effort basis. In case DP does not open the DP account within 30 working days from the receipt of application, Portfolio Manager shall refund the money to the Client without any interest within 3 working days of expiry of 30 days period.

## ◆ TRUSTS / SOCIETIES / OTHERS (NON-INDIVIDUAL ENTITIES)

- ◆ 3 Recent Photographs (signed across) of authorised partners/Trustees

### (3 sets of Certified True Copies of the following)

- ◆ PAN Card
- ◆ Latest Bank Account Statement
- ◆ Latest Demat Account Statement
- ◆ Address Proof - Any one of the following-
  - (1) Latest Utility bill other than mobile phone
  - (2) Latest Bank account statement
- ◆ Certificate of Registration (if registered)
- ◆ Trust Deed / Partnership Deed / Society Memorandum or Rules etc.
- ◆ Resolution for appointment of Portfolio Managers and authorising them to invest in securities through PMS / Power of Attorney granted to its Managers / Officers / Employees to transact business on its behalf

- ◇ List of all current Trustees / Settlers / Beneficiaries / those holding Power of Attorney / Founders / Managers / Directors / Partners with proof of identity and address
- ◇ Authorised Signatory List of (Trustee / Administrator of the Trust / Partners) and their proof of identity & address
  - ◇ Residential address proof.
  - ◇ Latest Photograph
  - ◇ Signatures to be verified by current banker.
  - ◇ Proof of Identity
  - ◇ PAN Card
- ◇ Latest Audited Statement of Accounts

**Note: (For Internal Use Only)**

1. All documents procured from the client apart from the documents mentioning "True Copy" should be authenticated as "OSV" (original sighted and verified) by FIMIL official.
2. Client - Portfolio Managers Agreement should be executed within a period of 6 months from the date of franking.
3. Investment instrument should be in favour of "Fortis Investment Management Account PMS".
4. It is mandatory to open a separate DP account for each Client, which shall be opened by Fortis Investments Portfolio Managers on best effort basis. In case DP does not open the DP account within 30 working days from the receipt of application, Portfolio Manager shall refund the money to the Client without any interest within 3 working days of expiry of 30 days period.

### ◇ HINDU UNDIVIDED FAMILY (HUF)

- ◇ One Recent Photograph (signed across) of Karta of HUF
- (3 sets of Certified True Copies of the following)**
- ◇ PAN Card of HUF
- ◇ Identification proof of Karta (Copy of any one of the following)
  - ◇ Valid Passport
  - ◇ Photo PAN Card
  - ◇ Voter's Identity Card
  - ◇ Driving License
  - ◇ MAPIN Card
  - ◇ Central/ State government ID Card
- ◇ Proof of address of Karta (Copy of any one of the following)
  - ◇ Valid Passport
  - ◇ Latest Utility bill other than mobile phone
  - ◇ Latest Bank account statement
  - ◇ Voter's Identity Card
  - ◇ Driving License
  - ◇ Ration Card
- ◇ Bank Account Proof - Latest Bank Statement
- ◇ Demat Account proof (In case of securities inflow) - Latest Demat Statement / Client Master
- ◇ Latest Audited Statement of Accounts, if any
- ◇ Deed of Declaration of HUF

**Note: (For Internal Use Only)**

1. All documents procured from the client should be authenticated as "OSV" by FIMIL official.
2. Client - PMS Agreement should be executed within a period of 6 months from the date of franking.



- Investment instrument should be in favour of "Fortis Investment Management Account PMS".
- It is mandatory to open a separate DP account for each Client, which shall be opened by Fortis Investments Portfolio Managers on best effort basis. In case DP does not open the DP account within 30 working days from the receipt of application, Portfolio Manager shall refund the money to the Client without any interest within 3 working days of expiry of 30 days period.

#### ◆ FII

##### (3 sets of Certified True Copies of the following)

- ◆ Foreign Address (i.e. Address of Registered Office)
- ◆ RBI Approval No. and date
- ◆ SEBI Registration No. and date
- ◆ Constitutional Documents
- ◆ FIPB Approval, if applicable
- ◆ Latest audited Annual Report

##### **Note: (For Internal Use Only)**

- All documents procured from the client should be authenticated as "OSV" (original sighted and verified) by FIMIL official.
- Client - Portfolio Managers Agreement should be executed within a period of 6 months from the date of franking.
- It is mandatory to open a separate bank, DP and broking accounts.
- Investment instrument should be in favour of "Client's Name".
- It is mandatory to open a separate DP account for each Client, which shall be opened by Fortis Investments Portfolio Managers on best effort basis. In case DP does not open the DP account within 30 working days from the receipt of application, Portfolio Manager shall refund the money to the Client without any interest within 3 working days of expiry of 30 days period.

##### **Special Note:**

- The identity and address verification of all beneficial owners holding / controlling 10% or more in the non-individual entity.
- Please drill down ultimate beneficial ownership upto a point that a natural person is reached.
- In case the payment is made by any person other than the Applicant, the above checklist will be applicable to such person depending upon his / her / its status.





## Registered Office

Fortis Investment Management (India) Private Limited  
101, 10th Floor, Sakhar Bhavan,  
Nariman Point, Mumbai - 400 021.  
Telephone : +91 22 6656 0000  
Fax : +91 22 6656 0040

## Sales Offices

### Mumbai:

Fortis Investment Management (India) Private Limited  
Brady House, 2nd Floor, 12/14,  
Veer Nariman Road, Fort, Mumbai - 400 001.  
Telephone : +91 22 6739 0000  
Fax : +91 22 6739 0002

### New Delhi:

Fortis Investment Management (India) Private Limited  
Hansalaya Building (1st Floor),  
15, Barakhamba Road, New Delhi - 110 001.  
Telephone : +91 11 4151 3401  
Fax : +91 11 4151 3404

### Bangalore:

Fortis Investment Management (India) Private Limited  
403, 4th Floor, HM Geneva House,  
Cunningham Road, Bangalore - 560 052.  
Telephone : +91 80 4092 6161 / 62  
Fax : +91 80 4092 6166

### Chennai:

Fortis Investment Management (India) Private Limited  
Old No. 48, New No. 99/1,  
Mahatma Gandhi Road,  
(Nungambakkam High Road),  
Chennai - 600 034.  
Telephone : +91 44 4549 0381 / 82  
Fax : +91 44 4549 0386

### Hyderabad:

Fortis Investment Management (India) Private Limited  
ABK OLBEE PLAZA, No. 502, 5th Floor,  
8-2-618/8 & 9, Road No.1 & 11,  
Banjara Hills, Hyderabad - 500 034.  
Telephone : +91 40 6666 5560 / 61  
Fax : +91 40 6657 5502

### Kolkata:

Fortis Investment Management (India) Private Limited  
6th Floor, Suite No. 601, Lords Building,  
7/1, Lord Sinha Road, Kolkata - 700 071.  
Telephone : +91 33 4434 1200 / 1201 / 1202 / 1203 /1205  
Fax : +91 33 4434 1204

### Pune:

Fortis Investment Management (India) Private Limited  
Office No. 7, 3rd Floor, Suyash Plaza,  
189 A, Bhandarkar Road, Pune - 411 004.  
Telephone : +91 20 6620 3291 / 92 / 93  
Fax : +91 20 6620 3290

### Ahmedabad:

Fortis Investment Management (India) Private Limited  
3rd Floor, 302, VIVA Complex,  
Near Parimal Garden, Ellisbridge,  
Ahmedabad - 380 006.  
Telephone : +91 79 2640 3310  
Fax : +91 79 2640 3309

[www.fortisinvestments.in](http://www.fortisinvestments.in)

**Risk Factors :** Securities Investments are subject to market risks and there is no assurance or guarantee that the objectives of the Portfolio will be achieved. The portfolio manager has no previous experience / track record for portfolio management, as the portfolio manager proposes to commence portfolio management activities henceforth. Past performance of the Portfolio Manager does not indicate the future performance of the portfolio. Investors are not being offered any guaranteed or assured return/s i.e. either of Principal or appreciation on the portfolio. Investors may note that Portfolio Manager's investment decisions may not be always profitable, as actual market movements may be at variance with anticipated trends. The liquidity of the Portfolio's investments is inherently restricted by trading volumes in the securities in which it invests. As with any investment in securities, the Value of Investment held by the Client may go up or down depending on the various factors and forces affecting the capital market. The names of the Products do not in any manner indicate either the quality of the Products or their future prospects and returns.