

Place: __

TATA MUTUAL FUND
Mulla House, Ground Floor, M. G. Road, Fort, Mumbai - 400 001



Declaration for Ultimate Beneficial Ownership (UBO) / Controlling Persons (Mandatory for Non-individual Investors)

1. Entity Deta	ails
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1. Entity Details		
Name of the Entity		
PAN Number		
2. Applicable for Listed Company	/ Subsidiary Company	
(i) I We Hereby declare that— Our Company is a Listed Company listed Our Company is Controlled by a Listed Company of the Listed Company of the Listed Company of the Listed Company of the Listed Listed Listed Listed Listed Listed Listed Listed Listed of the Details of holding/parent company to be provided as Applicable for Non Individuals of	ompany Secui vided in case the applicant / investor is a subsidary c	
	inci than Listed Company / its sub	Sidiary Company
Unincorporated association / body of individuals Others (please specify)	nership Company Private Trust and ALL Tax Identification Numbers for EACH controlling person(s)^.
Name - Beneficial owner / Controlling person Country - Tax Residency* Tax ID No Or functional equivalent for each country	Address - Include State, Country, PIN / ZIP Code & Contact Details Address Type -	Tax ID Type - TIN or Other, please specify Beneficial Interest - in percentage Type Code - of Controlling person
	Address	
1. Name		Tax ID Type
Country	State: Country:	Beneficial Interest
,	PIN/ZIP Code	Type Code
Tax ID No. [%]		Add. Type Residence Business Registered office
2 Name	Address	Tax ID Type
2. Name	State: Country:	Beneficial Interest
Country	PIN/ZIP Code	Type Code
Tax ID No.*		Add. Type Residence Business Registered office
	Address	Tax ID Type
3. Name		Beneficial Interest
Country	State: Country:	Type Code
	PIN/ZIP Code	
Tax ID No.*		Add. Type Residence Business Registered office
1. PAN	Occupation Type	DOB DD MMM/YYYY
City of Birth	Nationality	
Country of Birth	Father's Name	Gender □ Male □ Female □ Other
2. PAN	Occupation Type	DOB D D M M M Y Y Y Y
City of Birth	Nationality	
Country of Birth	Father's Name	Gender Male Female Other
3. PAN	Occupation Type	DOB D D M M M / Y Y Y
City of Birth	Nationality	Gender Male Female Other
# Additional details to be filled by controlling perso * To include US, where controlling person is a US cit equivalent. ^Attach sheets if necessary.	Father's Namens with tax residency / permanent residency / citiz izen or green card holder. % In case Tax Identificati	enship / Green Card in any country other than India: on Number is not available, kindly provide functional
4. Declaration and Signatures		
I/We acknowledge and confirm that the information provided a		nd belief. In the event any of the above information is/are found
AMC/Mutual Fund/Trustee shall not be liable for the same. I/V	/e hereby authorize sharing of the information furnished in th will be presumed that applicant is the ultimate beneficial own	ect the application and/or reverse the allotment of units and the is form with all SEBI Registered Intermediaries and they can rely ner, with no declaration to submit. I/We also undertake to keep y other additional information as may be required at your end.

Date: | D | D | / | M | M | / | Y | Y | Y | Y |

INSTRUCTIONS

Pursuant to SEBI master circular vide ref. no. CIR/ISD/AML/3/2010 dated December 31, 2010 on anti money laundering standards and guidelines on identification of Beneficial Ownership issued by SEBI vide its circular ref. no. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) ("UBO(s)") and submit proof of identity (viz. PAN with photograph or any other acceptable proof of identity prescribed in common KYC form) of UBO(s)). Attached Documents should be self-certified by the UBO and certified by the Applicant/Investor Authorised Signatory/ies.

(1) The Ultimate Beneficial Owner means:

· For Investor other than Trust:

A '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 / entitlements to:

- i. more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. 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.
- iv. In cases where there exists doubt 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 details should be provided of the natural person who is exercising control over the juridical person through other means (i.e. control exercised through voting rights, agreement, arrangements or in any other manner).
- v. However, where no natural person is identified, the identity of the relevant natural person who holds the position of senior managing official should be provided.

· For Trust

The settler of the trust, the trustees, the protector, the beneficiaries with 15% or more of interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

(2) Documents to be provided:

Provide copy of PAN with photograph or valid KYC Compliance proof or any other acceptable identity proof of UBO as below

- i. UID (Aadhaar)
- ii. Passport
- iii Voter ID
- iv. Driving Licence

If UBO is not KYC compliant, request to complete KYC formalities and send the intimation to CAMS /Fund. Attach valid address proof.

Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary.

Note: Attached documents should be self-certified by the UBO and certified by the Applicant/Investor Authorized Signatory/ies

(3) If the BO is minor proof of date of birth (i.e. birth certificate) and proof of relationship with the guardian and the copy of PAN with photograph of the guardian is mandatory.

(4) Exemption in case of listed companies:

The provisions w.r.t. Identification of UBO are not applicable to the investor 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.

(5) Applicability for foreign investors:

The identification of beneficial ownership in case of Foreign Institutional Investors (FIIs), their sub-accounts and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012.

(6) In case the information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or reverse the allotment of units, if subsequently it is found that applicant has concealed the facts of beneficial ownership.

(7) UBO - Type Codes

UBO - 01	Ownership of / entitlement to more than 25% of shares of capital or profits of the juridical person, where the juridical person is a company
UBO - 02	Ownership of / entitlement to more than 15% of the capital or profits of the juridical person, where the juridical person is a partnerhip
UBO - 03	Ownership of / entitlement to more than 15% of the property or capital or profits or the juridical person, where the juridical person is an unicorporated association or body of individuals
UBO - 04	Natural person who is exercising control over the juridical person through other means i.e. control exercised through voting rights, agreement, arrangements or in any other manner. (In case where there exist doubt 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 - 05	Person who holds the position of senior managing official like CEO, MD, Managing Partner etc. (In case any Ultimate Beneficial Owner/s does not own over 25% or 15%).
UBO - 06	The settlor(s) of the Trust
UBO - 07	Trustee(s) of the Trust.
UBO - 08	The Protector(s) of the Trust (if applicable).
UBO - 09	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.