

COMPARISON OF EXISTING OPEN ENDED FIXED INCOME SCHEMES OF THE FUND

Name of the Scheme	'Category' as per SEBI circular dt. Oct 06, 2017	Type of Scheme	Investment Objective for the Scheme	Asset Allocation				Product Differentiation	Number of folios on 14-March-22	AUM as on 14-Mar-22 (Rs. in crores)
Baroda BNP Paribas Multi Cap Fund	Multi Cap Fund <sup>(Note 1)</sup>	An Open ended Equity Scheme investing across large cap, mid cap and small stocks	The main objective of the scheme is to generate long term capital appreciation from an actively managed portfolio of equity & equity related instruments. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee / indicate any returns.	<b>Instruments</b>		<b>Normal Allocation (% of net assets)</b>	<b>Risk Profile</b>	The fund invests across market capitalization and therefore, it has no specific bias towards market capitalization.	200,535	1,657.32
				Equity & Equity related instruments of which: •Minimum investment in equity & equity related instruments of large cap^ companies would be 25% of total assets. •Minimum investment in equity & equity related instruments of mid cap^ companies would be 25% of total assets. •Minimum investment in equity & equity related instruments of small cap^ companies would be 25% of total assets	75 - 100	High to Medium				
				Money Market Instruments and Debt securities		0 - 25	Medium to Low			
Baroda BNP Paribas Banking and Financial Services Fund	Sectoral/Thematic	An open ended equity scheme investing in banking and financial services sector	The investment objective is to generate long-term capital appreciation for unit holders from a portfolio invested predominantly in equity and equity related securities of companies engaged in the Banking & Financial Services Sector. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee / indicate any returns.	<b>Type of Instruments</b>	<b>Indicative Asset Allocation (% of total assets)</b>		<b>Risk Profile</b>	The fund is a sectoral scheme which invests only in companies engaged in the banking and financial services sector.	10,331	48.58
					<b>Minimum</b>	<b>Maximum</b>	High to Medium			
				Equity & Equity related securities of companies engaged in Banking & Financial Services Sector*	80	100				
				Equity & Equity related securities of companies engaged in Non-Banking & Financial Services Sector*	0	20	High to Medium			
				Debt and Money Market instruments	0	20	Medium to Low			
				Investments in REITs & InvITs	0	10	High			
Baroda BNP Paribas Equity Savings Fund	Equity Savings Fund	An open-ended scheme investing in equity, arbitrage, and debt instruments	The primary objective of the Scheme is to generate capital appreciation and income by using arbitrage opportunities, investment in equity / equity related instruments and debt/ money market instruments. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/ indicate any returns.	<b>Instruments</b>	<b>Indicative Asset Allocation (% of total assets)</b>		<b>Risk Profile</b>	The fund is an open-ended scheme investing in equity, arbitrage and debt securities, using both hedged as well as unhedged strategies.	20,590	356.66
				Equity & equity related securities of which:	65	90	High			
				(i) Equity and equity related securities (unhedged); and *	0	50	High			
				(ii) Equities, equity related securities and derivatives including index futures, stock futures, index options, & stock options, etc. as part of hedged / arbitrage exposure (hedged)	15	90	Medium to High			
				Debt and Money Market Instruments*	10	35	Low to Medium			
				Investment in REITs and InvIT	0	10	High			
				Under defensive circumstances, the broad investment pattern will be as under:						
				<b>Instruments</b>	<b>Indicative Asset Allocation (% of total assets)</b>		<b>Risk Profile</b>			
					<b>Minimum</b>	<b>Maximum</b>	High			
				Equity & equity related securities of which:	15	65				
				(i) Equity and equity related securities (unhedged); and *	0	50	High			

**KEY INFORMATION MEMORANDUM**

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				(ii) Equities, equity related securities and derivatives including index futures, stock futures, index options, & stock options, etc. as part of hedged / arbitrage exposure (hedged)	15	65	Medium to High																												
				Debt and Money Market Instruments*	35	85	Low to Medium																												
				Investment in REITs and InvIT	0	10	High																												
Baroda BNP Paribas Large and Mid-Cap Fund	Large Mid Cap	& An open-ended equity scheme investing in both large and mid-cap stocks	The primary objective of the Scheme is to seek long term capital growth through investments in both large cap and mid-cap stocks. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/ indicate any returns.	<table border="1"> <thead> <tr> <th rowspan="2">Instruments</th> <th colspan="2">Indicative Asset Allocation (% of total assets)</th> <th rowspan="2">Risk Profile</th> </tr> <tr> <th>Minimum</th> <th>Maximum</th> </tr> </thead> <tbody> <tr> <td>Equity and equity related instruments of large cap* companies (including derivatives)</td> <td>35%</td> <td>65%</td> <td>High</td> </tr> <tr> <td>Equity and equity related instruments of mid cap* companies (including derivatives)</td> <td>35%</td> <td>65%</td> <td>High</td> </tr> <tr> <td>Other equities* and equity related instruments</td> <td>0%</td> <td>30%</td> <td>High</td> </tr> <tr> <td>Debt &amp; Money Market Instruments#</td> <td>0%</td> <td>20%</td> <td>Low to Medium</td> </tr> <tr> <td>Units issued by REITs/InvITs</td> <td>0%</td> <td>10%</td> <td>Medium to High</td> </tr> </tbody> </table> <p>*Large Cap: 1st - 100th company in terms of full market capitalization. Mid Cap :101st to 250th company in terms of full market capitalization. Other equities may include small cap stocks. Small Cap : 251st company onwards in terms of full market capitalization. The exposure across these stocks will be in line with limits/classification defined by AMFI/SEBI from time to time.</p>	Instruments	Indicative Asset Allocation (% of total assets)		Risk Profile	Minimum	Maximum	Equity and equity related instruments of large cap* companies (including derivatives)	35%	65%	High	Equity and equity related instruments of mid cap* companies (including derivatives)	35%	65%	High	Other equities* and equity related instruments	0%	30%	High	Debt & Money Market Instruments#	0%	20%	Low to Medium	Units issued by REITs/InvITs	0%	10%	Medium to High			The Fund is an open-ended scheme investing in both large cap and mid-cap stocks.	52,547	588.36
Instruments	Indicative Asset Allocation (% of total assets)		Risk Profile																																
	Minimum	Maximum																																	
Equity and equity related instruments of large cap* companies (including derivatives)	35%	65%	High																																
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Debt & Money Market Instruments#	0%	20%	Low to Medium																																
Units issued by REITs/InvITs	0%	10%	Medium to High																																
Baroda BNP Paribas Business Cycle Fund	Sectoral/ Thematic	An open-ended equity scheme following the Business Cycles theme	The investment objective of the Scheme is to generate long term capital appreciation for investors by investing predominantly in equity and equity related securities with a focus on riding business cycles through dynamic allocation between various sectors and stocks at different stages of business cycles in the economy. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/ indicate any returns.	<table border="1"> <thead> <tr> <th rowspan="2">Instruments</th> <th colspan="2">Indicative Allocation (% of net assets)</th> <th rowspan="2">Risk Profile</th> </tr> <tr> <th>Min</th> <th>Max</th> </tr> </thead> <tbody> <tr> <td>Equity and equity related instruments selected on the basis of business cycles*</td> <td>80%</td> <td>100%</td> <td>High</td> </tr> <tr> <td>Other equity and equity related instruments*</td> <td>0%</td> <td>20%</td> <td>Medium to High</td> </tr> <tr> <td>Overseas equity and equity related instruments, including ADR, GDR, or any other type of securities</td> <td>0%</td> <td>20%</td> <td>High</td> </tr> <tr> <td>Units issued by REITs &amp; InvITs</td> <td>0%</td> <td>10%</td> <td>Medium to High</td> </tr> <tr> <td>Debt/Money Market instruments including units of Debt oriented Mutual funds as may be permissible from time to time#</td> <td>0%</td> <td>20%</td> <td>Low to Medium</td> </tr> </tbody> </table>	Instruments	Indicative Allocation (% of net assets)		Risk Profile	Min	Max	Equity and equity related instruments selected on the basis of business cycles*	80%	100%	High	Other equity and equity related instruments*	0%	20%	Medium to High	Overseas equity and equity related instruments, including ADR, GDR, or any other type of securities	0%	20%	High	Units issued by REITs & InvITs	0%	10%	Medium to High	Debt/Money Market instruments including units of Debt oriented Mutual funds as may be permissible from time to time#	0%	20%	Low to Medium			The Fund is an open-ended equity scheme following the Business Cycles theme.	39,950	976.25
Instruments	Indicative Allocation (% of net assets)		Risk Profile																																
	Min	Max																																	
Equity and equity related instruments selected on the basis of business cycles*	80%	100%	High																																
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Debt/Money Market instruments including units of Debt oriented Mutual funds as may be permissible from time to time#	0%	20%	Low to Medium																																
Baroda BNP Paribas Balanced Advantage Fund	Dynamic Asset Allocation / Balanced Advantage	An open-ended balanced advantage fund	The primary objective of the Scheme is to generate capital appreciation by investing in a portfolio of equity or equity linked securities while the secondary objective is to generate income through investments in debt and money market instruments. It also aims to manage risk through active asset allocation. However,	<table border="1"> <thead> <tr> <th rowspan="2">Instruments</th> <th colspan="2">Indicative Allocation (% of net assets)</th> <th rowspan="2">Risk Profile</th> </tr> <tr> <th>Min</th> <th>Max</th> </tr> </thead> <tbody> <tr> <td>Equity &amp; equity related securities</td> <td>65</td> <td>100</td> <td>Medium to High</td> </tr> <tr> <td>Debt and money market instruments*</td> <td>0</td> <td>35</td> <td>Low to Medium</td> </tr> <tr> <td>Units issued by REITs &amp; InvITs</td> <td>0</td> <td>10</td> <td>Medium to High</td> </tr> </tbody> </table> <p>*Investment in securitized debt will not exceed 10% of the net assets of the Scheme. The Scheme will not invest in foreign securitized debt. Gross equity exposure is maintained between 65% to 100% and the net long equity exposure will be between 30% to 100%. The Scheme may take derivatives positions up to 50% of the equity and debt assets of the Scheme, based on the opportunities</p>	Instruments	Indicative Allocation (% of net assets)		Risk Profile	Min	Max	Equity & equity related securities	65	100	Medium to High	Debt and money market instruments*	0	35	Low to Medium	Units issued by REITs & InvITs	0	10	Medium to High			The extent of equity exposure in the fund will be guided by an underlying quantitative model, while the balance will be invested in equity /debt derivatives and debt and money market securities.	145,240	3,070.00								
Instruments	Indicative Allocation (% of net assets)		Risk Profile																																
	Min	Max																																	
Equity & equity related securities	65	100	Medium to High																																
Debt and money market instruments*	0	35	Low to Medium																																
Units issued by REITs & InvITs	0	10	Medium to High																																

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			there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/indicate any returns.	available, subject to the guidelines issued by SEBI from time to time, and in line with the overall investment objective of the Scheme																			
Baroda BNP Paribas ELSS Fund	ELSS	An open ended equity linked saving scheme with a statutory lock in of 3 years and tax benefit.	The investment objective of the Scheme is to generate long-term capital growth from a diversified and actively managed portfolio of equity and equity related securities along with income tax rebate, as may be prevalent from time to time. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/indicate any returns.	<table border="1"> <thead> <tr> <th>Type of Instruments</th> <th>Normal Allocation (% of Net Assets)</th> <th>Minimum Allocation (% of Net Assets)</th> <th>Maximum Allocation (% of Net Assets)</th> <th>Risk Profile</th> </tr> </thead> <tbody> <tr> <td>Equities and Equity Related Securities of companies*</td> <td>95</td> <td>80</td> <td>100</td> <td>High</td> </tr> <tr> <td>Debt Instruments* and Money Market instruments (including money at call)</td> <td>5</td> <td>0</td> <td>20</td> <td>Low</td> </tr> </tbody> </table>	Type of Instruments	Normal Allocation (% of Net Assets)	Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)	Risk Profile	Equities and Equity Related Securities of companies*	95	80	100	High	Debt Instruments* and Money Market instruments (including money at call)	5	0	20	Low	The Scheme has a lock-in period of 3 years from the date of allotment. As per the Finance Act, 2005, this is an eligible investment for deduction under section 80C of the Income Tax Act, 1961, for Individuals and HUFs for subscription to the extent of Rs. 150,000/-.	71,084	693.57	
Type of Instruments	Normal Allocation (% of Net Assets)	Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)	Risk Profile																			
Equities and Equity Related Securities of companies*	95	80	100	High																			
Debt Instruments* and Money Market instruments (including money at call)	5	0	20	Low																			
Baroda BNP Paribas Arbitrage Fund	Arbitrage Fund	An Open ended Scheme investing in arbitrage opportunities.	The primary investment objective of the scheme is to generate income and capital appreciation by investing in a combination of diversified portfolio of equity and equity related instruments, including use of equity derivatives strategies and arbitrage opportunities with exposure in debt and fixed income instruments. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/indicate any returns.	<table border="1"> <thead> <tr> <th>Type of Instruments</th> <th>Minimum Allocation (% of Net Assets)</th> <th>Maximum Allocation (% of Net Assets)</th> <th>Risk Profile</th> </tr> </thead> <tbody> <tr> <td>Equities, equity related instruments# and derivatives including index futures, stock futures, index options, &amp; stock options, etc. as hedged/ arbitrage exposure</td> <td>65</td> <td>100</td> <td>Medium to High</td> </tr> <tr> <td>Debt Securities and Money market instruments and/or units of liquid fund</td> <td>0</td> <td>35</td> <td>Low</td> </tr> <tr> <td>Units issued by REITs &amp; InvITs</td> <td>0</td> <td>10</td> <td>Medium to High</td> </tr> </tbody> </table>	Type of Instruments	Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)	Risk Profile	Equities, equity related instruments# and derivatives including index futures, stock futures, index options, & stock options, etc. as hedged/ arbitrage exposure	65	100	Medium to High	Debt Securities and Money market instruments and/or units of liquid fund	0	35	Low	Units issued by REITs & InvITs	0	10	Medium to High	The strategy seeks to generate income and capital appreciation through a diversified portfolio. The fund predominantly invests in equity & equity related instruments, which includes investment in arbitrage opportunities. It also invests in debt and money market instruments.	2,762	642.03
Type of Instruments	Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)	Risk Profile																				
Equities, equity related instruments# and derivatives including index futures, stock futures, index options, & stock options, etc. as hedged/ arbitrage exposure	65	100	Medium to High																				
Debt Securities and Money market instruments and/or units of liquid fund	0	35	Low																				
Units issued by REITs & InvITs	0	10	Medium to High																				
Baroda BNP Paribas Aggressive Hybrid Fund	Aggressive Hybrid Fund	An Open ended Hybrid Scheme investing predominantly in equity and equity related instruments	The Scheme seeks to generate income and capital appreciation by investing in a diversified portfolio of equity and equity related instruments and fixed income instruments. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/indicate any returns.	<table border="1"> <thead> <tr> <th>Type of Instruments</th> <th>Minimum Allocation (% of Net Assets)</th> <th>Maximum Allocation (% of Net Assets)</th> <th>Risk Profile</th> </tr> </thead> <tbody> <tr> <td>Debt Instruments &amp; Money Market Instruments (including cash / call money)</td> <td>20</td> <td>35</td> <td>Medium to High</td> </tr> <tr> <td>Equity &amp; Equity related securities</td> <td>65</td> <td>80</td> <td>Medium to High</td> </tr> <tr> <td>Units issued by REITs &amp; InvITs</td> <td>0</td> <td>10</td> <td>Medium to High</td> </tr> </tbody> </table>	Type of Instruments	Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)	Risk Profile	Debt Instruments & Money Market Instruments (including cash / call money)	20	35	Medium to High	Equity & Equity related securities	65	80	Medium to High	Units issued by REITs & InvITs	0	10	Medium to High	The funds strategy seeks to generate income and capital appreciation by taking advantage of diversification by investing in a mix of asset classes comprising equity & equity related instruments and fixed income securities. The equity component would have a large cap bias and some exposure to mid & small cap stocks. The fixed income portion provides cushion to earnings thereby reducing	27,967	741.75
Type of Instruments	Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)	Risk Profile																				
Debt Instruments & Money Market Instruments (including cash / call money)	20	35	Medium to High																				
Equity & Equity related securities	65	80	Medium to High																				
Units issued by REITs & InvITs	0	10	Medium to High																				

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Baroda BNP Paribas Focused Equity Fund	Focused Fund	An Open ended Equity Scheme investing in maximum 25 stocks across market capitalization (i.e. multi cap stocks)	The Scheme seeks to generate long-term capital growth by investing in a concentrated portfolio of equity & equity related instruments of up to 25 companies across market capitalization. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/indicate any returns.	<b>Type of Instruments</b>	<b>Minimum Allocation (% of Net Assets)</b>	<b>Maximum Allocation (% of Net Assets)</b>	<b>Risk Profile</b>	the overall volatility of the fund. The fund will emphasize on investing in a concentrated portfolio of equity & equity related instruments of up to 25 companies across market capitalisation. The Scheme adopts a blend of value and growth approaches to investing with a focus on generating long term capital appreciation.	11,541	208.28
Baroda BNP Paribas India Consumption Fund	Sectoral / Thematic	An Open ended Equity Scheme following consumption theme.	The primary investment objective of the Scheme is to seek to generate capital appreciation and provide long-term growth opportunities by investing in companies expected to benefit by providing products and services to the growing consumption needs of Indian consumers, which in turn is getting fuelled by high disposable income. The Scheme also seeks to generate income by investing in debt and money market securities. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/indicate any returns.	<b>Type of Instruments</b>	<b>Allocation (as % of net assets)</b>		<b>Risk Profile</b>	The Scheme shall be investing in equities of the companies expected to benefit by providing products and services to the growing consumption needs of Indian consumers. These will include companies that are expected to benefit from the consumption patterns in India, which in turn is getting fuelled by high disposable incomes and growing consumption needs of Indian households.	53,565	835.66
Baroda BNP Paribas Large Cap Fund	Large Cap Fund <sup>(Note 1)</sup>	An Open ended Equity Scheme predominantly investing in large cap stocks	The investment objective of the Scheme is to generate long-term capital growth from a diversified and actively managed portfolio of equity and equity related securities by predominantly investing in large market capitalization companies. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/indicate any returns.	<b>Type of Instruments</b>	<b>Minimum Allocation (% of Net Assets)</b>	<b>Maximum Allocation (% of Net Assets)</b>	<b>Risk Profile</b>	The Scheme will invest in a range of companies with a bias towards large market capitalisations. These may be companies focusing on quality exhibiting sound management and fundamentals across sectors with sustainable earnings growth.	56,119	1,250.47
Baroda BNP Paribas Mid Cap Fund	Mid Cap Fund <sup>(Note 1)</sup>	An Open ended Equity Scheme predominant	The investment objective of the Scheme seeks to generate long-term capital appreciation by investing primarily in companies	<b>Type of Instruments</b>	<b>Minimum Allocation (% of Net Assets)</b>	<b>Maximum Allocation (% of Net Assets)</b>	<b>Risk Profile</b>	The fund will invest predominantly in the mid-capitalisation	71,354	1,136.30

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		Equity investing in mid cap stocks	with high growth opportunities in the mid capitalization segment. The fund will emphasize on companies that appear to offer opportunities for long-term growth and will be inclined towards companies that are driven by dynamic style of management and entrepreneurial flair. However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/indicate any returns.	instruments of Mid Cap companies#		High	space. These may be companies focusing on high growth with superior earnings potential across all sectors.			
				Equity & equity related instruments of other than Mid Cap companies, Debt instruments* & Money Market Instruments (including cash and money at call)#	0	35				Medium to High
				Units issued by REITs & InvITs	0	10				Medium to High

For further details on asset allocation and investment pattern and investment strategy of each of the above schemes, please refer to the Scheme Information Document of the respective scheme.



**4. INVESTMENT & PAYMENT DETAILS : (Mandatory)**

**FOR ZERO BALANCE FOLIO & LUMP SUM :** Please fill details below

Zero Balance  Lumpsum (please fill details below)

Scheme Name: **Baroda BNP Paribas**

Cheque No./UMRN: \_\_\_\_\_ Bank \_\_\_\_\_ Account No. \_\_\_\_\_ Amount (₹) \_\_\_\_\_ Payment Mode:  Cheque  NEFT  RTGS  OTM

**FOR SIP / MULTIPLE SIP :** Please fill details below and also fill SIP form

For Multiple SIP - investment can be made upto four Schemes with a single instrument. Multiple SIP Schemes to be mentioned in the below table and single instrument for the total consolidated amount favouring Baroda BNP Mutual Fund to be provided. Mention First SIP Cheque Details below and in SIP Form.

Scheme Name	Plan	Option	Amount
1. Baroda BNP Paribas	Direct / Regular		₹
2. Baroda BNP Paribas	Direct / Regular		₹
3. Baroda BNP Paribas	Direct / Regular		₹
4. Baroda BNP Paribas	Direct / Regular		₹
Total Amount (In Words)		Total Amount (In Figures)	

Cheque No./UMRN: \_\_\_\_\_ Bank: \_\_\_\_\_ Account No. \_\_\_\_\_ Payment Mode:  Cheque  NEFT  RTGS  OTM

Payment Type:  Non-Third Party Payment  Third Party Payment (Please attach "Third Party Declaration Form")

**5. DEMAT ACCOUNT DETAILS**

National Securities Depository Ltd.  Central Depository Services (India) Ltd. Depository Participant Name \_\_\_\_\_ DP ID No. \_\_\_\_\_ Beneficiary Account No. \_\_\_\_\_

Investor willing to invest in Demat option, may provide a copy of the DP Statement enabling us to match the Demat details as stated in the Application Form. In case the form is not filled, the default option will be physical mode.

**6. FIRST HOLDER'S BANK ACCOUNT DETAILS (Mandatory)**

Bank Name \_\_\_\_\_ Ac. no. (In Figures) \_\_\_\_\_ A/c. Type  Savings  Current  NRE  NRO  FCNR Ac. no. (In Words) \_\_\_\_\_ Branch Address \_\_\_\_\_ State \_\_\_\_\_ City \_\_\_\_\_ Pin Code \_\_\_\_\_ MICR Code \_\_\_\_\_ (9 Digit No. next to your Cheque No.) IFSC Code \_\_\_\_\_ (11 Digit No. appearing on Cheque)

Example for filling the Account No. 1 3 5 7 in words One Three Five Seven (Please attach copy of cancelled cheque)

**7. FATCA DETAILS For Individual (Mandatory) Non Individual investors including HUF should Mandatorily fill separate FATCA detail form**

**Details under Foreign Tax Laws:**  First / Sole Applicant / Guardian  Second Applicant  Third Applicant  PoA

Place & Country of Birth \_\_\_\_\_ Nationality  Indian  US  Others (Please Specify) \_\_\_\_\_  Indian  US  Others (Please Specify) \_\_\_\_\_  Indian  US  Others (Please Specify) \_\_\_\_\_

Address Type  Residential  Registered Office  Business  Residential  Registered Office  Business  Residential  Registered Office  Business

Are you a tax resident (i.e. are you assessed for Tax) in any other country outside India?  Yes  No (If Yes, please provide information below)

Country of Tax Residency \_\_\_\_\_ Tax Identification Number or Functional Equivalent \_\_\_\_\_ Identification Type (TIN or Other, please specify) \_\_\_\_\_

If TIN is not available, please tick Reason  A  B  C (Please Specify) \_\_\_\_\_ Reason  A  B  C (Please Specify) \_\_\_\_\_ Reason  A  B  C (Please Specify) \_\_\_\_\_

**Reason A:** The country where Account Holder is liable to pay tax does not issue TIN to its residents require the TIN to be collected) **Reason B:** No TIN Required (Select this only if the authorities of the respective country of tax residents do not require the TIN to be collected) **Reason C:** others, please specify the reason above

**8. NOMINATION - MANDATORY, even if no intention to nominate. Minor & PoA holder cannot nominate and should not fill this section**

1. I/We do not wish to nominate **SIGNATURE(S)** First / Sole Applicant Second Applicant Third Applicant

2. Having read and understood the instruction for Nomination, I / We hereby nominate the person(s) more particularly described hereunder in respect of the Units under the Folio held by me/us in the event of my death.

Nominee Name	Relationship	Date of Birth <sup>A</sup>	Allocation % <sup>#</sup>	Guardian Signature <sup>A</sup>
Nominee 1				
Nominee 2				
Nominee 3				

<sup>A</sup> In case Nominee is minor. <sup>#</sup> Please indicate the percentage of allocation / share for each of the nominees in whole numbers only without any decimals making a total of 100 per cent.

**9. DECLARATION & SIGNATURES**

I / We hereby confirm and declare as under:- I / We am / are not prohibited from accessing capital markets under any order / ruling / judgment etc., of any regulation, including SEBI. My application is in compliance with applicable Indian and foreign laws. I / We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. 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 am / We are competent under the applicable laws and duly authorised where required, to make this investment in the above mentioned scheme. I / We have read, understood and hereby agree to comply with the terms and conditions of the scheme related documents including the provisions of the section of 'Who cannot Invest' and apply for allotment of Units of the Scheme(s) of Baroda BNP Paribas Mutual Fund ('Fund'). I/We hereby confirm that the proposed investment is being made from known, identifiable and legitimate sources of funds (income of mine 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 India including but not limited to the Income Tax Act, the Prevention of Money Laundering Act, 2002, the Prevention of Corruption Act, 1988 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 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 AMC / Mutual Fund / Trustees reserve the right to not create a folio / account, reject the application / withhold the investments made by me / us and / or make disclosures and 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 AMC / Mutual Fund / Trustees may deem proper at their sole option.

I / We hereby authorise the Fund, AMC and its Agents to disclose my / our details including investment details to my / our bank(s) / Fund's bank(s) and / or Distributor / Broker / Investment Advisor and to verify my / our bank details provided by me / us, or to disclose to such service providers as deemed necessary for conduct of business. I / We confirm that I / We do not have any existing Micro SIP / Investments which together with the current application will result in aggregate investments exceeding Rs. 50,000/- in a financial year or a rolling period of one year. I / We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my / our transactions.

The ARN holder (AMFI registered Distributor) has disclosed to me / us all the commissions (in the form of trail commission or any other mode), payable to him / them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me / us. I / WE HEREBY CONFIRM THAT I / WE HAVE NOT BEEN OFFERED / COMMUNICATED ANY INDICATIVE PORTFOLIO AND / OR ANY INDICATIVE YIELD BY THE FUND / AMC / ITS DISTRIBUTOR FOR THIS INVESTMENT. I / We declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete and further agree to furnish such other further/additional information as may be required by the Baroda BNP Paribas Asset Management India Pvt Ltd (AMC) / Fund. I further undertake to advise the AMC / Mutual Fund / Trustees promptly of any change in circumstance which causes the information contained herein to become incorrect and to provide the AMC / Mutual Fund / Trustees with a suitably updated self-declaration within 30 days of such change in circumstances.

I hereby declare that the AMC / Fund can provide my information to any institution / tax authorities / governmental body for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

To receive physical annual statements and scheme wise abridged report please tick here

**Additional declaration for NRIs only :** I / We confirm that I am / We are Non-Resident of Indian Nationality / Origin and I / We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my / our Non-Resident External / Ordinary Account / FCNR Account.

**Additional declaration for Foreign Nationals Resident in India only:** I/We will redeem my / our entire investment(s) before I / We change my / our Indian residency status. I / We shall be fully liable for all consequences (including taxation) arising out of the failure to redeem on account of change in residential status.

**Additional declaration for NRIs / PIO / OCIs only:** I / We am / are not prohibited from accessing capital markets under any order / ruling / judgment etc., of any regulation, including SEBI. I / We confirm that my application is in compliance with applicable Indian and foreign laws. please  Yes  No If yes,  Repatriation basis  Non-Repatriation basis

Dated \_\_\_\_\_ First / Sole Applicant / Guardian / POA Holder / Authorised Signatory \_\_\_\_\_ Second Applicant / POA Holder \_\_\_\_\_ Third Applicant / POA Holder \_\_\_\_\_

**Baroda BNP PARIBAS MUTUAL FUND**  
**BNP Paribas Asset Management India Private Limited**  
 Crescenzo, 7th Floor, G-Block, Bandra Kurla Complex, Mumbai - 400051, Maharashtra, India.  
 Email Id- service@barodabnp-paribasmf.in Board line no.- 022 69209600 • Toll Free no.- 1800 2670 189  
 Fax no.- 022 69209 460/470 Website URL- www.barodabnp-paribasmf.in  
 CIN no.- U65991MH2003PTC142972



Simply send \*\*SMS to 9212 132763 to avail the below facilities

Balance	SMS BAL <space> last 6 digits of Folio No.
NAV	SMS NAV <space> last 6 digits of Folio No.
Statement thru Email	SMS ESOA <space> last 6 digits of Folio No.
Last 3 Transactions	SMS Transaction <space> last 6 digits of Folio No.

\*\*SMS charges as per service provider applicable.





## INSTRUCTIONS

1. The SIP Registration Form should be completed in English and in Block Letters only. Please tick (✓) in the appropriate box (□), where boxes have been provided. The SIP Enrolment Form, complete in all respects, should be submitted to any of the Official Points of Acceptance of Transactions.
2. Unit Holders can register SIP in up to 4 different schemes using single Multi SIP Registration Form.
3. Existing unit holders are required to submit only the SIP Registration Form. Existing unit holders should note that unit holders' details and mode of holding (single, jointly, anyone or survivor) will be as per the existing folio number.
4. New investors who wish to register for SIP are required to fill the Common Application Form and SIP Application Form. New investors are advised to read the Key Information Memorandum(s) and Scheme Information Document carefully before investing and the same are available with the ISCs / distributors.
5. Minimum amount and installments required for various SIP frequencies offered to investors is as below:

For all open ended non-liquid schemes, other than Baroda BNP Paribas ELSS Fund:

Daily Systematic Investment Facility (DSIF), Weekly Systematic Investment Facility (WSIF) and Monthly Systematic Investment Facility (MSIF): Minimum INR 500 and in multiples of INR 1 thereafter per installment for a minimum of 12 Installments

Quarterly Systematic Investment Facility (QSIF): Minimum INR 1500 and in multiples of INR 1 thereafter per installment for a minimum of 4 Installments

For Baroda BNP Paribas ELSS Fund: Minimum INR 500 and in multiples of INR 500 thereafter per installment. Minimum Installments for DSIP, WSIF, MSIF will be 6 installments and for QSIF 4 installments

Accordingly, the provision of criteria of Minimum Application Amount of the scheme shall not apply to such applications using the SIP facility.

### 6. Applicable Load Structure for SIP

#### Entry Load: Nil

The provisions of Exit Load as applicable to the normal investments as on the date of Registration will be applicable to fresh SIP investments.

7. Separate SIP Registration Forms are required to be filled for DSIP, WSIF, MSIF and QSIF.
8. Investors have the right to discontinue the SIP facility at any time by sending a written request to any of the Official Points of Acceptance of Transactions. Such notice should be received at least 14 days prior to the due date of the next cheque. On receipt of such request, the SIP facility will be terminated.
9. The registration period of SIP will be as per the instruction given by the investor. In case the SIP is selected for a Perpetual period investors will have to submit SIP cancellation request to discontinue the SIP. In case of any ambiguity in registration period or if the end date of SIP is not mentioned, the default period for SIP will be perpetual.
10. In case investor has not selected any frequency or in case of any ambiguity, monthly frequency shall be considered as default option. Similarly, 7th day shall be considered as default Trigger date. In case of any ambiguity in the enrolment form, the SIP registration request shall be liable to be rejected.
11. In case of minor application, AMC will register standing instructions till the date of the minor attaining majority, though the instructions may be for a period beyond that date. Prior to minor attaining majority, AMC shall send advance notice to the registered correspondence address advising the guardian and the minor to submit an application form along with prescribed documents to change the status of the account to "major". The account shall be frozen for operation by the guardian on the day the minor attains the age of majority and no fresh transactions shall be permitted till the documents for changing the status are received.
12. The Trustee / AMC reserves the right to change / modify the terms of the SIP.
13. If no start date is mentioned by the investors, the SIP will be registered to start from a period after 30 days from the date of submission of the application form.
14. DSIP shall be triggered and processed on all Business Days only.
15. Investors can choose any preferred date of the month as SIP debit date. In case the chosen date falls on a non-business day, the SIP will be processed on the immediate next business day. In case chosen date is not available in a particular month, the SIP will be processed on the last

business day of the month.

16. The SIP will be discontinued automatically if payment is not received for three successive instalments
17. The amount mentioned on the first cheque should be equal to the combined SIP instalment amount mentioned against all the Schemes in the Form. Accordingly, the first cheque amount will get invested in multiple Schemes as mentioned in the form. In case of mismatch, the transaction is liable to be rejected. Further, investor should ensure that the amount mentioned on the OTM is equal to the total consolidated amount across all schemes mentioned as per the form
18. If a Micro SIP application is found such that the registration of the application will result in the aggregate of all investments made by the investor in a financial year exceeding Rs. 50,000 or where there is any deficiency in the application form or any supporting document In case the first Micro SIP instalment is processed (as the cheque may be banked), and the application / supporting document is found to be defective, such Micro SIP will be ceased for future instalments. No refunds shall be made for the units already allotted. Investor, can however, redeem the units if so desired.
19. The investor will not hold Baroda BNP Paribas Mutual Fund, its registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of NACH Debit/ Local/Bank holiday. Baroda BNP Paribas Mutual Fund, its registrars and other service providers shall not be held responsible or liable for damages / compensation / loss incurred by the investor as a result of using the SIP NACH / Direct Debit facility. The investor assumes the entire risk of using this facility and takes full responsibility.

### The terms and conditions for availing the "Top-Up SIP" shall be as follows:

#### 1. Frequency for Top-Up SIP

##### (i) For Monthly SIP:

- a. Half Yearly Top-Up SIP: Under this option, the amount of investment through SIP installment shall be increased by amount chosen / designated by Investor post every 6th (sixth) SIP installment.
- b. Yearly Top-Up SIP: Under this option, the amount of investment through SIP installment shall be increased by amount chosen / designated by Investor post every 12th (twelfth) SIP installment.

##### (ii) For Quarterly SIP:

- a. Yearly Top-Up SIP: Under this option, the amount of investment through SIP installment shall be increased by amount chosen / designated by Investor post every 4th (fourth) SIP installment. In case the investor who has registered under Quarterly SIP opts for Half Yearly Top-Up SIP, the same shall be registered and processed as Yearly Top-Up SIP.

#### 2. Minimum Top-Up SIP Amount:

₹ 500 and in multiples of ₹ 500 thereafter.

#### 3. Default Top-Up SIP Frequency and amount:

In case the investor fails to specify either the frequency or amount for Top-Up SIP, the same shall be deemed as Yearly Top-Up SIP and ₹ 500 respectively and the application form shall be processed accordingly. In case the investor fails to specify both, i.e. the frequency for Top-Up SIP and amount for Top-Up SIP, the application form may be processed as conventional SIP, subject to it being complete in all other aspects.

4. Top-Up SIP shall be available for SIP Investments only through NACH / Direct Debit Facility only. Top-Up SIP shall not be available under SIP facility availed by Investors through Standing Instructions or investing through Channel Partners or through Stock Exchange Platforms.
5. Top-Up SIP facility shall not be available under Weekly SIP option.
6. Top-Up SIP facility can be availed by the investors only at the time of registration of SIP or renewal of SIP.
7. Investors should note that for modification of any of the details of Top-Up SIP details, the existing SIP with Top-Up facility shall be required to be cancelled and investor would be required to register a fresh SIP with modified Top-Up facility details.
8. Investors should ensure the amount mentioned in the OTM is on the higher side to be able to accommodate the increase as and when the top up amount is triggered. In case the OTM amount is lesser than the base amount + top up amount for any trigger in future, the SIP with Top-Up Facility will stand cancelled.

**Declaration:** I / We hereby declare that the particulars provided in this mandate are correct and complete and hereby agree to participate in the NACH / ECS / Direct Debit / Standing Instructions (SI) and make payments through the NACH platform according to the terms and conditions thereof. I / We further hereby agree and acknowledge that I / we will not hold the AMC and/or responsible for any delay and / or failure in debiting my bank account for reasons not attributable to the negligence and / or misconduct on the part of the AMC / I / We hereby declare and confirm that, irrespective of my / our registration of the above mobile number in the 'DO NOT DISTURB (DND)', 'or in any similar register maintained under applicable laws, now or subsequent to the date hereof, I / We hereby consent to the Bank communicating with me/us in any manner whatsoever on the said mobile number with respect to the transactions carried out in my / our aforementioned bank account(s). I / We hereby agree to abide by the terms and conditions that may be intimated to me / us by the AMC / Bank with respect to the NACH / ECS / Direct Debit / SI from time to time.

**Authorisation to Bank:** This is to inform that I / We have registered for ECS / NACH (Debit Clearing) / Direct Debit / SI facility and that the payment towards my / our investments in the Schemes of Baroda BNP Paribas Mutual Fund shall be made from my / our above mentioned bank account with your Bank. I / We hereby authorize the representatives of BNP Paribas Asset Management India Private Limited, Investment Manager to Baroda BNP Paribas Mutual Fund carrying this mandate form to get it verified and executed. I / We authorize the Bank to debit my / our above-mentioned bank account for any charges towards mandate verification, registration, transactions, returns, etc, as applicable for my / our participation in NACH / ECS / Direct Debit / SI.

**For Non Individuals  
FATCA, CRS & Ultimate Beneficial Owner (UBO)**



Name of the entity

Type of address given at KRA  Residential or Business  Residential  Business  Registered Office

"Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes"

Folio No.

PAN  Date of incorporation

City of incorporation  Country of incorporation

Entity Constitution Type (Please tick as appropriate)  Partnership Firm  HUF  Private Limited Company  Public Limited Company  Society  AOP/BOI  
 Trust  Liquidator  Limited Liability Partnership  Artificial Juridical Person  Others specify

Please tick the applicable tax resident declaration:

**1. Is "Entity" a tax resident of any country other than India**  Yes  No (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number %	Identification Type (TIN or Other, please specify)

% In case Tax Identification Number is not available, kindly provide its functional equivalent\$.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here   
(Please Refer to para 3(vii) exemption code for U.S persons under part D of FATCA instructions and definitions)

**FATCA & CRS Declaration please consult your Professional Tax Advisor for further Guidance on FATCA & CRS classification.**

**PART A** (to be filled by Financial Institutions or Direct Reporting NFEs)

We are a,  Financial institution<sup>3</sup> or  Direct reporting NFE<sup>4</sup> (please tick as appropriate)

Global Intermediary Identification Number (GIIN)

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity

GIIN not available (please tick as applicable)  Applied for

If the entity is a financial institution,  Not required to apply for - please specify 2 digits sub-category<sup>10</sup>   Not obtained - Non-participating FI

**PART B** (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company <sup>1</sup> (that is, a company whose shares are regularly traded on an established securities market) <input type="checkbox"/> No	<input type="checkbox"/> Yes (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange <input type="text"/>
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) <input type="checkbox"/> No	<input type="checkbox"/> Yes (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <input type="text"/> Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company <input type="text"/>
3.	Is the Entity an active <sup>1</sup> Non-Financial Entity (NFE) <input type="checkbox"/> No	<input type="checkbox"/> Yes (If yes, please fill UBO declaration in the next section.) Nature of Business <input type="text"/> Please specify the sub-category of Active NFE <input type="text"/> (Mention code-refer 2c of Part D)
4.	Is the Entity a passive <sup>2</sup> NFE	<input type="checkbox"/> Yes (If yes, please fill UBO declaration in the next section.) Nature of Business <input type="text"/>

<sup>1</sup> Refer 2 of Part D | <sup>2</sup> Refer 3(ii) of Part D | <sup>3</sup> Refer 1(i) of Part D | <sup>4</sup> Refer 3 (vi) of Part D

**PART C**

**UBO Declaration**

Category (Please tick applicable category)

- Unlisted Company 
  Partnership Firm 
  Limited Liability Partnership Company 
  Unincorporated association / body of individuals Private Trust  
 Public Charitable Trust 
  Religious Trust 
  Others

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

Details	UBO1	UBO2	UBO3
Name			
PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>
Address	<input type="text"/> Zip <input type="text"/> State <input type="text"/> Country <input type="text"/>	<input type="text"/> Zip <input type="text"/> State <input type="text"/> Country <input type="text"/>	<input type="text"/> Zip <input type="text"/> State <input type="text"/> Country <input type="text"/>
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Registered office <input type="checkbox"/> Business	<input type="checkbox"/> Residence <input type="checkbox"/> Registered office <input type="checkbox"/> Business	<input type="checkbox"/> Residence <input type="checkbox"/> Registered office <input type="checkbox"/> Business
Date of Birth	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others		
Father's Name (Mandatory if PAN is not available)	<input type="text"/>	<input type="text"/>	<input type="text"/>
City of Birth	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>
Nationality	<input type="text"/>	<input type="text"/>	<input type="text"/>
UBO Type Code <sup>11</sup>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Tax residency*	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tax ID No. <sup>5</sup>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tax ID Type	<input type="text"/>	<input type="text"/>	<input type="text"/>
Percentage of Holding (%)^	<input type="text"/>	<input type="text"/>	<input type="text"/>
Politically Exposed Person (PEP) Status <sup>12</sup>	<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable	<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable	<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable

# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

\* To include US, where controlling person is a US citizen or green card holder

% In case Tax Identification Number is not available, kindly provide functional equivalent

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

<sup>12</sup> PEP : PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g Heads of Sates or of Governments ,senior politicians senior Government/Judicial/military officers, senior executives of state owned corporations ,important political party officials, etc.

**FATCA - CRS Terms and Conditions**

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as Investment Entities to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with Baroda BNP Paribas Mutual Fund or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

\$ It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation

**CERTIFICATION**

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me / us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA& CRS Terms and Conditions above and hereby accept the same.

Name	<input type="text"/>
Designation	<input type="text"/>
Dated	<input type="text"/>
Place	Signature <input type="text"/> Signature <input type="text"/> Signature <input type="text"/>

**PART D FATCA INSTRUCTIONS & DEFINITIONS**

1. (I) Financial Institution (FI) - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.
- (ii) Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- (iii) Custodial institution is an entity that holds as a substantial portion of its business, financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of
  - (i) The three financial years preceding the year in which determination is made; or
  - (ii) The period during which the entity has been in existence, whichever is less.
- (iv) Investment entity is any entity:
  - (a) That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
    - (ii) Individual and collective portfolio management; or
    - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;
 or
  - (b) The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.  
 An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :
    - (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
    - (ii) The period during which the entity has been in existence.
 The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 04, 05, 06 and 07 - refer point 2).
- (v) Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.
- FI not required to apply for GIIN: Refer Rule 114(5) of Income Tax Rules, 1962 for the conditions to be satisfied as "non-reporting financial institution and Guidance issued by CBDT in this regard.

A. Reasons why FI not required to apply for GIIN:

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trust
09	Non-registering local banks
10	FFI with only Low-Value Accounts
11	Sponsored investment entity and controlled foreign corporation
12	Sponsored, Closely Held Investment Vehicle

2. Active Non Financial Entity (NFE) (any one of the following) : Refer explanation (A) to 114F(6) of Income tax Rules, 1962 for details :

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity. The stock of which is regularly traded on an established securities market.
03	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
04	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
05	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
06	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
07	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
08	Any NFE that fulfills all of the following requirements: <ul style="list-style-type: none"> <li>• It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>• It is exempt from income tax in India;</li> <li>• It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul>

The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and

The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.

Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely :-

- (i) an Investor Protection Fund referred to in clause (23EA);
- (ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and
- (iii) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

3. Other definitions

- (i) Related entity

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this

purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

(ii) Passive NFE

The term passive NFE means

- (i) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or
- (ii) an investment entity defined in clause 1 (iv)(b) of these instructions
- (iii) a withholding foreign partnership or withholding foreign trust;
- (iii) Passive income

The term passive income includes income by way of :

- (1) Dividends,
- (2) Interest
- (3) Income equivalent to interest,
- (4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE
- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering Rules, 2005 (Maintenance of Records). In determining the beneficial owner, the procedure specified in the following circular as amended from time to time shall be applied, namely :-

- (i) DBOD.AML.BC NO 71/14.01.001/2012-13, issued on the 18th January, 2013 by the Reserve Bank of India; or
- (ii) CIR/MIRSD/2/2013, issued on the 24th January, 2013 by the Securities and Exchange Board of India; or
- (iii) IRDA/SDD/GDLC/CIR/019/02/2013, issued on the 4th February, 2013 by the Insurance Regulatory and Development Authority.

In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type:

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-other equivalent
14	Unknown

(v) Specified U.S. person – AU.S person other than the following:

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (iii) the United States or any wholly owned agency or instrumentality thereof;
- (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Direct reporting NFE

A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

(vii) Exemption code for U.S. persons (Refer 114F(9) of Income Tax Rules, 1962 for details).

Code	Sub-category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37).
B	The United States or any of its agencies or instrumentalities.
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities.
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i).
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i).
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state.
G	Areal estate investment trust.
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940.
I	A common trust fund as defined in section 584(a).
J	A bank as defined in section 581.
K	A broker.
L	A trust exempt from tax under section 664 or described in section 4947(a)(1).
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan.