

DECLARATION OF BENEFICIAL OWNERSHIP

(Applicable to Company (Other than the company listed on a stock exchange or in case of a subsidiary of such a company), partnership firm, unincorporated association or body of individuals and trusts)

Name of the Legal Entity: _____

Registered Address: _____

Type of Entity / Legal Constitution (Please tick the correct box)

- | | |
|---|--|
| <input type="checkbox"/> Company | <input type="checkbox"/> Partnership Firm |
| <input type="checkbox"/> Association of Persons (AOP) | <input type="checkbox"/> Body of Individuals (BOI) |
| <input type="checkbox"/> Trust | <input type="checkbox"/> Society |
| <input type="checkbox"/> Others (Club, University, Institution etc) | |

The Legal Entity as stated above hereby confirms and declares that on the below date that following natural person(s) are the Beneficial Owners.

Please fill details of Beneficial Owner holding more than 25% controlling interest (in case of company) or more than 15% controlling interest (in case of other entities), if Beneficial Owner is not identifiable or there are no natural person(s), who are Beneficial Owners, please fill details of Senior Managing Official.

(Please attach self-attested proof of KYC documents of Beneficial Owner/s or Senior Managing Official)

1	Full Name of Beneficial owner / Senior Managing Official:	
	Controlling ownership Interest (%):	
	Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female
	Date of Birth:	
	Address:	
	PIN Code:	
	PAN:	
	KYC Documents:	
	-Identity Proof:	<input type="checkbox"/> Voter ID; <input type="checkbox"/> Passport; <input type="checkbox"/> Driving License; <input type="checkbox"/> Aadhaar; <input type="checkbox"/> NPR Letter
	-Address Proof:	<input type="checkbox"/> Voter ID; <input type="checkbox"/> Passport; <input type="checkbox"/> Driving License; <input type="checkbox"/> Aadhaar; <input type="checkbox"/> NPR Letter
	Director Identification Number (if applicable):	
	Mobile Number(s):	
	Residential status:	<input type="checkbox"/> Resident Indian Individual; <input type="checkbox"/> Foreign/Non-Resident Indian Individual
	Relationship:	<input type="checkbox"/> Shareholder; <input type="checkbox"/> Partner; <input type="checkbox"/> Trustee; <input type="checkbox"/> Promoter Director; <input type="checkbox"/> Nominee Director; <input type="checkbox"/> Independent Director; <input type="checkbox"/> Other Director; <input type="checkbox"/> Chairman/ Member (Society); <input type="checkbox"/> Member (AoP); <input type="checkbox"/> Others

2	Full Name of Beneficial owner / Senior Managing Official:	
	Controlling ownership Interest (%):	
	Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female
	Date of Birth:	
	Address:	
	PIN Code:	
	PAN:	
	KYC Documents:	
	-Identity Proof:	<input type="checkbox"/> Voter ID; <input type="checkbox"/> Passport; <input type="checkbox"/> Driving License; <input type="checkbox"/> Aadhaar; <input type="checkbox"/> NPR Letter
	-Address Proof:	<input type="checkbox"/> Voter ID; <input type="checkbox"/> Passport; <input type="checkbox"/> Driving License; <input type="checkbox"/> Aadhaar; <input type="checkbox"/> NPR Letter
	Director Identification Number (if applicable):	
	Mobile Number(s):	
	Residential status:	<input type="checkbox"/> Resident Indian Individual; <input type="checkbox"/> Foreign/Non-Resident Indian Individual
	Relationship:	<input type="checkbox"/> Shareholder; <input type="checkbox"/> Partner; <input type="checkbox"/> Trustee; <input type="checkbox"/> Promoter Director; <input type="checkbox"/> Nominee Director; <input type="checkbox"/> Independent Director; <input type="checkbox"/> Other Director; <input type="checkbox"/> Chairman/ Member (Society); <input type="checkbox"/> Member (AoP); <input type="checkbox"/> Others

In case of more than two beneficial owners, please provide their details as per for the above format

We certify that the facts stated above are true and correct. We undertake and agree that we will notify “**Shriram Finance Limited**” of any changes in the controlling persons, person exercising control or having controlling ownership interest in the Company, partnership firm, unincorporated association or body of individuals and trusts, as declared in the table above, without any delay.

For and on behalf of -----[name of Company, partnership firm, unincorporated association or body of individuals and trusts]:

Signature of the Authorized Official*: _____

Full Name of the Authorized official: _____

Designation / Position: _____

Date:

Place:

(*The declaration should be signed by Authorised Signatories in case of Company, an active/designated partner in case of Partnership Firm/LLP, a trustee in case of Trust, a senior member in case of AOP, Society, Club and member of the Managing Committee in case of University and Institution)

For Branch use only

We certify that the beneficial owner(s) of the said Legal Entity has/have been determined on the basis of declaration made and documents submitted by the abovementioned Company/Partnership firm/Unincorporated association/Body of individuals/Trusts and the details furnished above have been verified from documents which are submitted or information wherever available, in public domain.

Signature of the Employee

Employee Name:

Employee Code.:

Date:

As per RBI KYC Master Direction, Beneficial Owner (BO) is defined as:

a. Where the customer is a **Company**, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical persons, has/have a controlling ownership interest or who exercise control through other means.

Explanation- For the purpose of this sub-clause-

“Controlling ownership interest” means ownership of/entitlement to more than 25 per cent of the shares or capital or profits of the company.

“Control” shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholder’s agreements or voting agreements.

b. Where the customer is a **Partnership firm**, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has/have ownership of/entitlement to more than 15 per cent of capital or profits of the partnership.

c. Where the customer is an **Unincorporated association or Body of individuals**, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has/have ownership of/entitlement to more than 15 per cent of the property or capital or profits of the unincorporated association or body of individuals.

Explanation: Term ‘body of individuals’ includes societies.

Where no natural person is identified under (a), (b) or (c) above, the beneficial owner is the relevant natural person who holds the position of senior managing official.

d. Where the customer is a **Trust**, the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.
