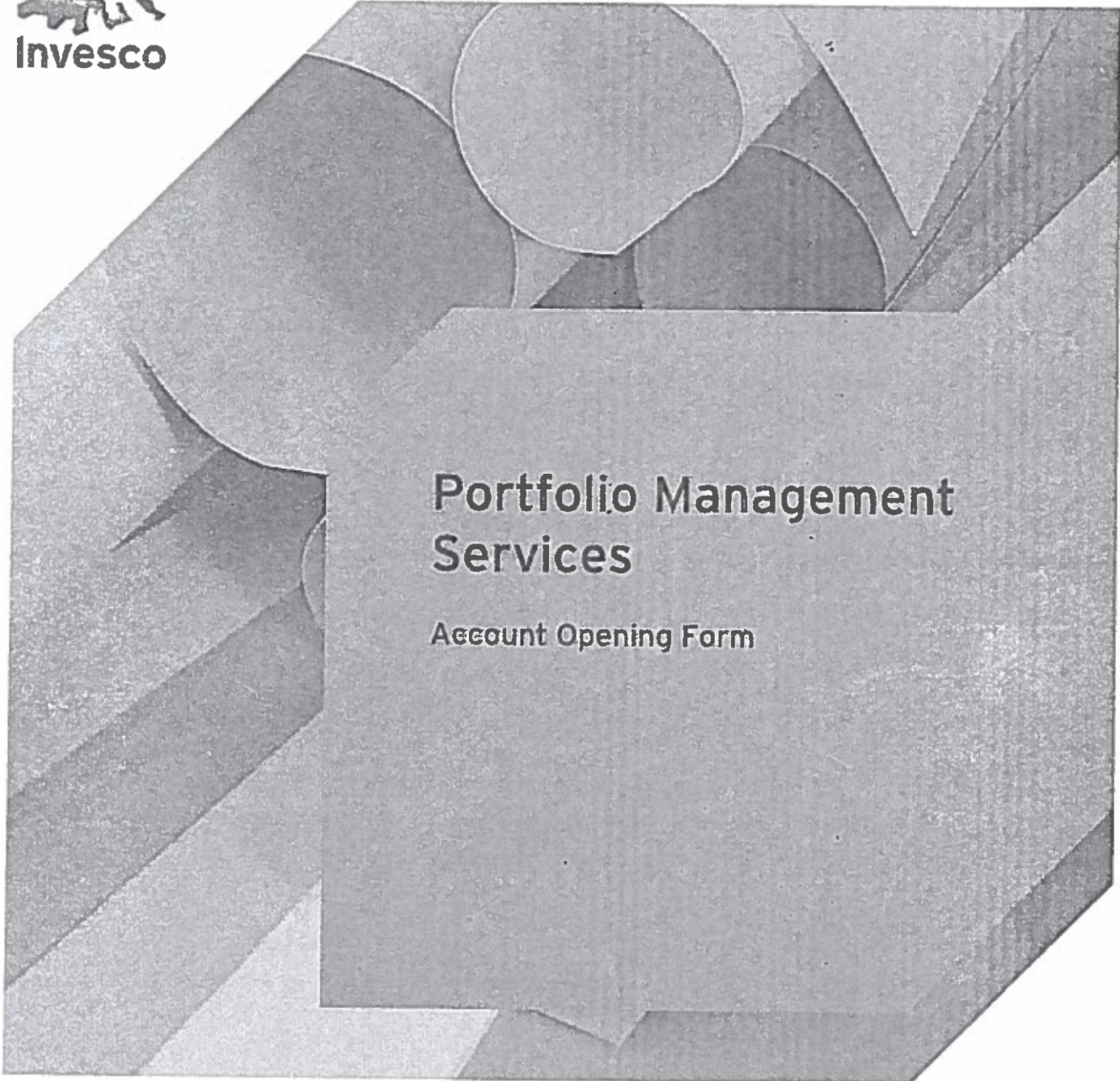


DUMMY format - CORPORATE



For Office Use Only

Name of Client

Account No. Received on

Distributor Name

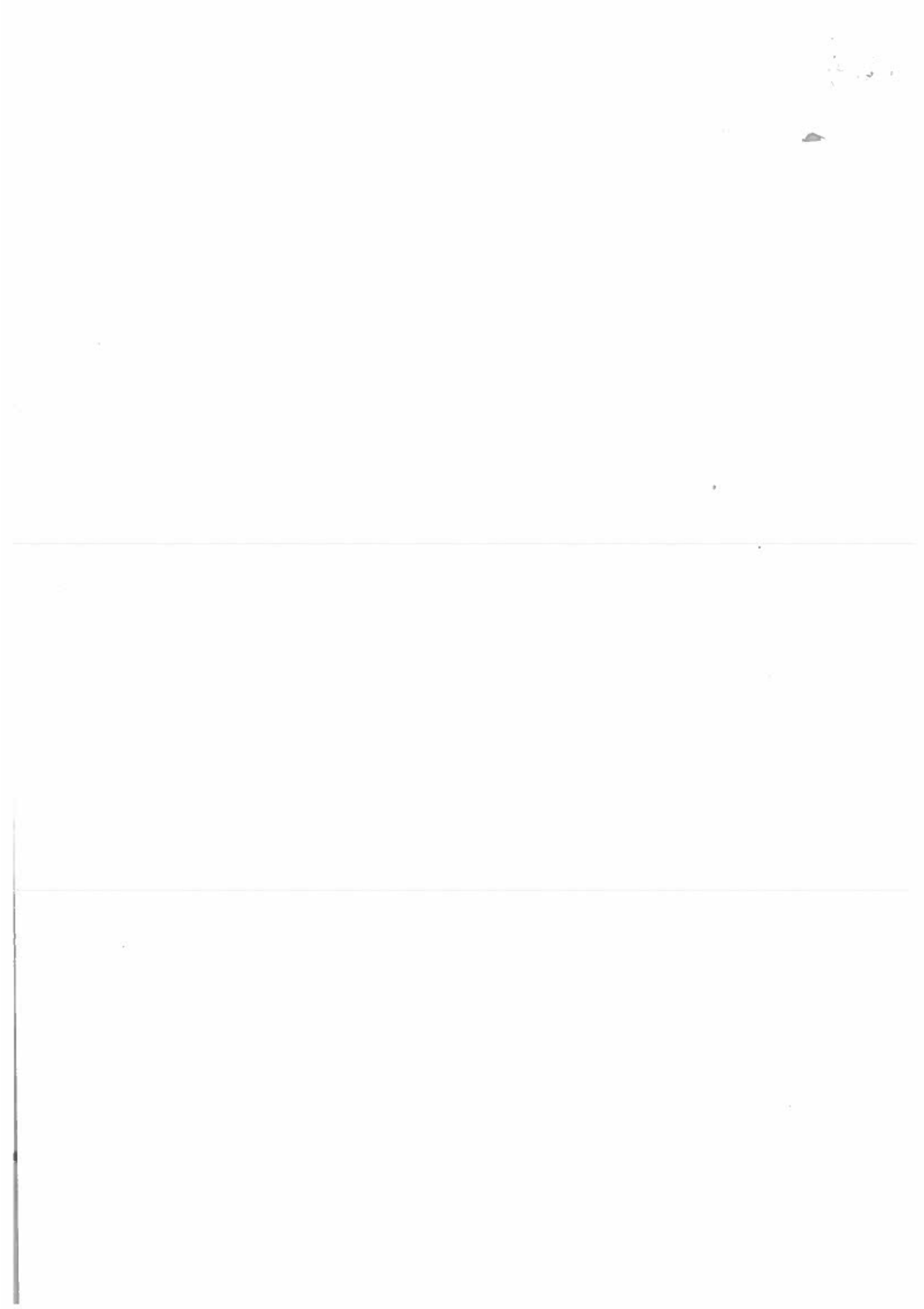




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Office Use Only

Client Code Allotted in PMS	Back Office	Login ID	Back Office
RM Name	RM AMIT PEDNEKAR	RM Code	RM
RM Branch / Division	RM MUMBAI	RM Zone	RM
Signature of RM			

IN CASE OF NON POOL CLIENT (ACCOUNT DETAILS)

Bank Account Details

Account Number Account Type (Please Current Savings NRE NRO FCNR

Bank Name

Bank Address

Depository Account Details

Please NSDL CDSL

DP ID	Beneficiary Account No.	DP Name
<small>in case of NSDL</small>		

DP Address

Broker Details

Broker Name Trading Code

Broker Address

ACCOUNT OPENING DETAILS

	Name Of the Person	Signed	Date
Form Checked by	Back Office		D D M M Y Y Y Y
Documents Verified by	Back Office		D D M M Y Y Y Y
Account Opened by	Back Office		D D M M Y Y Y Y
Authorised by	Back Office		D D M M Y Y Y Y
Submission to KRA (Please <input checked="" type="checkbox"/>)			



Instructions to Fill The Account Opening Form

1. The Account Opening Form has to be complete in all respects with all the necessary annexures attached.
2. Alterations, if any, should be countersigned.
3. Certified true copies of resolution authorising a person to sign the Agreement should not be signed by the same person.
4. Rubber stamp of the Firm / HUF / Body Corporate / Trust / LLP to be affixed in appropriate places.
5. Any changes in the details submitted should be intimated to the Portfolio Manager on an immediate basis.
6. Cheques for subscription to be drawn in favour of "Invesco Asset Management (India) Private Limited - PMS A/c".
7. Non Individual applicants are mandatorily required to provide details of net worth along with gross annual income. Individual applicants can provide details of net worth or gross annual income or both. While providing details of net worth, the same should be of a date which is within one year. Non Individual applicants, not being a company that is listed on any recognized stock exchange or is a subsidiary of such listed company or is controlled by such listed Company, are required to submit a declaration of ultimate beneficial ownership in the format as available on the website of the fund.

Instructions/Check List for Filling KYC Form

A. Important Points:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and Whole Time Directors and persons authorized to deal in securities on behalf of company/firm/others
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PID Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.
12. Please submit all the KYC Documents on A4 Size Paper Only

B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission)

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FI/sub account, Power of Attorney given by FI/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/Clarifications to PAN:

(*Sufficient documentary evidence in support of such claims to be collected)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.



5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy / Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of Entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole Time Director/ MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of Whole Time Directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FIIs)/Foreign Portfolio Investor (FPI)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.



Check List (Please ensure the following)

Accompanying Documents

Please submit the following documents with the Account Opening Form (where applicable). All documents should be original or a true copy certified by Director / Trustee / Secretary/ Partner / Karta / Authorised Signatory.

Documents	Individuals / Proprietary Concern	NRI	HUF	Partnership Firm	Body Corporate	Trust	Co-operative Societies	LLP
UBO Annexure + Proof of Identity of Ultimate Beneficial Owner(s)				✓	✓	✓	✓	✓
Photo Identity of Applicant / Signatory(ies)	✓	✓		✓	✓	✓	✓	✓
Proof of Address	✓	✓	✓	✓	✓	✓	✓	✓
Residence Proof of Applicant / Signatory(ies)	✓	✓	✓	✓	✓	✓	✓	✓
Proof of Bank Account Details	✓	✓	✓	✓	✓	✓	✓	✓
Valid Passport / PIO Card / OCI Card / Overseas Address Proof / Continuous Discharge Certificate or Mariner's Declaration in case of Merchant Navy NRI		✓						
Portfolio Investment Scheme No.		✓						
PAN Card	✓	✓	✓	✓	✓	✓	✓	✓
Declaration			✓	✓				
Partnership Deed				✓				✓
Registration Certificate				✓		✓	✓	✓
List of Partners / Co-partners / Managing Committee Members/ Directors/Trustees			✓	✓	✓	✓	✓	
Memorandum & Articles of Association					✓			
*Latest 2 Financial Years' Audited Annual Report				✓	✓	✓	✓	✓
List of Authorised Signatories					✓	✓	✓	
Trust Deed						✓		
Bye Laws / Charter Governing the Society certified by Secretary / Chairman							✓	
Management Committee / General Body Meeting Resolution Authorizing investments							✓	
*Banker Verification	✓			✓	✓			
List of Shareholders / Partners with ownership structure				✓	✓			
CVL Verification Letter	✓	✓	✓	✓	✓	✓	✓	✓

*To be submitted every year. *For Proprietary Concern

**Know Your Client (KYC)
Application Form (For Individuals Only)**



Place for
Intermediary Logo

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document)

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth d d / m m / y y y y

3. Nationality Indian Other

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar) Passport Voter ID Driving Licence Others

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village

State

Country

Pin Code

2. Contact Details

Tel. (Off.) (ISD) (STD)

Mobile (ISD) (STD)

E-Mail Id

Tel. (Res.) (ISD) (STD)

Fax (ISD) (STD)

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village

State

Country

Pin Code

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

6. Any other information:

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date:

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

IPV Done on d d / m m / y y y y

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(* Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

N

Know Your Client (KYC) Application Form (For Non-Individuals Only)



Place for Intermediary Logo

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration, leaving one box blank between 2 words. Please do not abbreviate the Name).

TARFE PRIVATE LIMITED COMPANY

2. Date of Incorporation 02/11/1998

Place of Incorporation MUMBAI

3. Registration No. (e.g. CIN) AQB123456789

Date of commencement of business 02/11/1998

4. Status Please tick (✓) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust / Charities / NGOs FI FII HUF AOP Bank Government Body Non-Government Organisation Defence Establishment Body of Individuals Society LLP Others

5. Permanent Account Number (PAN) (MANDATORY) AACD1234XX Please enclose a duly attested copy of your PAN Card

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

MARATHON FUTUREX, 21ST FLOOR, A WING, SUBHASH ROAD, VILE PARLE WEST,

City / Town / Village MUMBAI

Postal Code 400053

State MAHARASHTRA

Country INDIA

2. Contact Details

Tel. (Off.) (ISD) (STD)

Tel. (Res.) (ISD) (STD) 24123456

Mobile (ISD) (STD) 9812345678

Fax (ISD) (STD)

E-Mail Id. xxx@gmail.com

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Latest Telephone Bill (only Land Line) Latest Electricity Bill Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises Any other proof of address document (as listed overleaf) (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted dd/mm/yyyy

4. Registered Address (If different from above)

SAME AS ABOVE [In case correspondence and registered address is different, then write the registered address here]

City / Town / Village

Postal Code

State

Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Latest Telephone Bill (only Land Line) Latest Electricity Bill Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises Any other proof of address document (as listed overleaf) (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted dd/mm/yyyy

C. Other Details (please see guidelines overleaf)

1. Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)

2. Any other information:

DECLARATION

We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place: MUMBAI

Date: 26/07/2017

For Invesco Asset Management (India) Pvt. Ltd.

NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)

Authorized Signatory

Invesco Asset Management (India) Pvt. Ltd.

FOR OFFICE USE ONLY

Authorized Signatory

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of Identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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C. Proof of Address (POA): List of documents admissible as Proof of Address: (* Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FI/ sub account, Power of Attorney given by FI/ sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(* Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official Liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIs, MIs, VCFs, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-Individuals, additional documents to be obtained from Non-Individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years, (to be submitted every year) • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations • Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly • Copies of the Memorandum and Articles of Association and certificate of incorporation • Copy of the Board Resolution for investment in securities market • Authorised signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only) • Copy of partnership deed • Authorised signatories list with specimen signatures • Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered trust only). Copy of Trust deed • List of trustees certified by managing trustees/CA • Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> • PAN of HUF • Deed of declaration of HUF/List of coparceners • Bank pass-book/bank statement in the name of HUF • Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document • Resolution of the managing body & Power of Attorney granted to transact business on its behalf • Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Please Submit the KYC Documents on A4 Size Paper Only.

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph
1	A0CD1234XX	JITENDRA TARFE	DIN12345	MUMBAI	PROMOTER / DIRECTOR	[REQUIRED]

For Invesco Asset Management (India) Pvt. Ltd.

Name & Signature of the Authorised Signatory(ies) _____ Date ____/____/____
 Authorised Signatory



Place for Intermediary Logo

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ACCOUNT OPENING FORM (FOR INDIVIDUALS)

Registered Office : Invesco Asset Management (India) Private Limited
2101-A, A Wing, 21st Floor, Marathon Futurex, N. M. Joshi Marg, Lower Parel, Mumbai - 400 013.
T +91 22 67310000 F +91 22 23019142 Website : www.invescomutualfund.com

Application Number :

Portfolio Management Services Registration Number: PM/INP000005273

1. Applicant's Personal Details

FIRST / SOLE APPLICANT

Date of Birth

Name

PAN

Gross Annual Income Details (Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lac-1Crore > 1Crore OR

Net-worth in ₹. as on (date)

Occupation (Please tick (✓) any one and give brief details):

- Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
- Housewife Student Forex Dealer Others (Please specify)
- Please tick, if applicable: Politically Exposed Person Related to a Politically Exposed Person

SECOND APPLICANT

Name

PAN

Gross Annual Income Details (Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lac-1Crore > 1Crore OR

Net-worth in ₹. as on (date)

Occupation (Please tick (✓) any one and give brief details):

- Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
- Housewife Student Forex Dealer Others (Please specify)
- Please tick, if applicable: Politically Exposed Person Related to a Politically Exposed Person

THIRD APPLICANT

Name

PAN

Gross Annual Income Details (Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lac-1Crore > 1Crore OR

Net-worth in ₹. as on (date)

Occupation (Please tick (✓) any one and give brief details):

- Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
- Housewife Student Forex Dealer Others (Please specify)
- Please tick, if applicable: Politically Exposed Person Related to a Politically Exposed Person

Mode of Operation (Please ✓) Single Joint Either or Survivor

If NRI (Please ✓) NRI - Repatriable NRI - Non Repatriable

2. Bank Account Details

Account Number Account Type (Please ✓) Current Savings NRE NRO FCNR

Bank Name

Bank Address

City PIN MICR Number

NEFT/RTGS/IFSC Code PIS Account No.



Enclosed Copy of Cancelled Cheque* OR Bank Passbook OR Bank Statement (with Bank Stamp, Signature of Branch Manager) (Please)

Names of Joint Holders

First / Sole Holder	Second Holder	Third Holder

*In the event, name of the Applicant is not printed on the cheque, it will not be treated as valid proof

3. Investment and Payment Details

(Please any one) By Cheque In Securities Both

Portfolio Name	Investment Amount (in figs.)

Payment Details (Cheque) - Cheque to be drawn in favour of "Invesco Asset Management (India) Pvt. Ltd. - PMS A/C"

Amount in Rs.	<input type="text"/>	Amount in Words	<input type="text"/>
Cheque No.	<input type="text"/>	Dated	<input type="text"/> DD <input type="text"/> MM <input type="text"/> YY <input type="text"/> YY
Bank Name	<input type="text"/>	Branch	<input type="text"/>

Payment Details (Securities)** - Attach DP Instruction slip for verification

Please NSDL CDSL

DP ID	Beneficiary Account No.	DP Name
<input type="text"/>	<input type="text"/>	<input type="text"/>
In case of NSDL		
DP Address <input type="text"/>		

Enclosed Copy of (Please) Client Master OR DP Statement Total No. of Scripts Transferred***

* One cheque can be issued for investing in multiple portfolios and should be made out in favour of "Invesco Asset Management (India) Private Limited - PMS A/c"
 Portfolio-wise breakup of Investments to be provided in "Investment Amount" above. *Please fill in List of securities in Annexure 2.

4. Investment Profile of Sole/First Applicant

Investment Experience in Security Market (No. of years) Expected Investment Time Horizon (No. of years)

Percentage of Total Investment Portfolio proposed to be invested with Portfolio Manager % (Optional)

Please

Investment Goals	<input type="checkbox"/> Capital Appreciation	<input type="checkbox"/> Regular Income	<input type="checkbox"/> Both
Investment Objective	<input type="checkbox"/> Equity	<input type="checkbox"/> Balanced (Equity : Debt)	<input type="checkbox"/> Debt <input type="checkbox"/> Mutual Fund
	<input type="checkbox"/> All Securities	<input type="checkbox"/> Venture Fund	<input type="checkbox"/> Others (Pls specify) _____
Risk Tolerance Level	<input type="checkbox"/> High	<input type="checkbox"/> Medium	<input type="checkbox"/> Low
Systematic Withdrawals	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Yearly <input type="checkbox"/> On Request

Last 3 years' Income Details	<input type="text"/> YY YY	<input type="text"/> YY YY	<input type="text"/> YY YY
Annual Income	<input type="text"/> Rs. in lacs.	<input type="text"/> Rs. in lacs.	<input type="text"/> Rs. in lacs.
Net Worth	<input type="text"/> Rs. in lacs.	<input type="text"/> Rs. in lacs.	<input type="text"/> Rs. in lacs.



5. Introduced By

Organisation Name

Employee Name

Mr. / Ms.

Employee Code

Address

Signature

6. Declaration & Signature(s)

I / We hereby declare that all the information and particulars given by me / us in this application are true to the best of my / our knowledge and belief. I / We agree to immediately inform you if there is any change in any of the information given in this application or in the Annexure(s) to this application. I / We also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted therefrom, you have a right to terminate the Portfolio Management Services. I / We agree to keep you informed of any action taken by any regulatory authorities for violation of Securities / Economic Laws. I / We also agree to furnish such further information as you or SEBI may require from me / us from time to time and I/we agree that if I / we fail to give such information, you shall have the right to terminate the Portfolio Management Services. I / We also authorise the Portfolio Manager to share the information / documents about me / us with any entity of the Invesco Group.

I / We wish to inform you that I / We have read and understood the contents of the Disclosure Document as specified in Schedule V of the SEBI (Portfolio Managers) Regulations, 1993, alongwith certificate in Form C as specified in Schedule I of the said Regulations. I / We confirm that the Portfolio Management Services Agreement, Fee Schedule, Account Opening Form and Disclosure Document were received by me two days / more than two days prior to entering into the Portfolio Management Services Agreement.

(Please) I / We hereby declare that I / we do not hold investments / interest in any body corporate which enables me / us to obtain unpublished price sensitive information.
OR

(Please) I / We hereby declare that I / we do hold investments / interest in the body corporates as per list attached which enables me / us to obtain unpublished price sensitive information.

First / Sole Applicant

Second Applicant

Third Applicant

Date

Place



7. Nomination

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and/or money payable in respect of my/our portfolio held with Invesco Asset Management (India) Private Limited shall vest in the event of my/our death.

Name of the Nominee	Mr. / Ms.	
Relationship with the Applicant		
Address		
	City	PIN
Date of Birth (in case of Minor)	DD MM YYYY	
Name of the Guardian (In Case Nominee is a Minor)	Relationship with the Minor	
Address		
	City	PIN
Signature Of Nominee/Guardian		

First / Sole Applicant	Second Applicant	Third Applicant

	First Witness	Second Witness
Name		
Address		
City		
State		
PIN		
	First Witness Signature	Second Witness Signature

- Note:
1. Nomination details given by Client(s) for Portfolio Account should be identical / same as given in Account Opening Form for Depository Account.
 2. Client(s) should change nomination in Depository Account only after changing nomination details in Portfolio Account to avoid problems for transmission of portfolio/securities to the nominee.



Registered Office : Invesco Asset Management (India) Private Limited
 2101-A, A Wing, 21st Floor, Marathon Futurex, N. M. Joshi Marg, Lower Parel, Mumbai - 400 013.
 T +91 22 67310000 F +91 22 23019142 Website : www.invescomutualfund.com

Portfolio Management Services Registration Number: PM/INP000005273

ACCOUNT OPENING FORM
(FOR NON-INDIVIDUALS)

Application Number :

1. Applicant's Details

Name

Registering Authority

Nature of Business

PAN

TAN (If Applicable)

Enclosed copy of (Please ✓) TAN Allotment Letter

2. Bank Account Details

Account Number Account Type (Please ✓) Current Others

Bank Name

Bank Address

City PIN

MICR Number NEFT/RTGS/IFSC Code

Enclosed Copy of (Please ✓) Cancelled Cheque* OR Bank Passbook OR Bank Statement (with Bank Stamp, Signature of Branch Manager)

*In the event where the name of the applicant is not printed on the cheque, it will not be treated as a valid proof.

3. Investment and Payment Details

(Please ✓ any one) By Cheque In Securities Both

Portfolio Name	Investment Amount (in figs.)
INVESCO RISE PORTFOLIO	50,00,000.00



Payment Details (Cheque) - Cheque to be drawn in favour of "Invesco Asset Management (India) Private Limited - PMS A/C" *

Amount in Rs. Amount in Words
 Cheque No. Dated
 Bank Name Branch

Payment Details (Securities)** - Attach DP Instruction slip for verification

Please (✓) NSDL CDSL

DP ID Beneficiary Account No. DP Name

In case of NSDI

DP Address

Enclosed Copy of (Please ✓) Client Master OR DP Statement Total No. of Scripts Transferred***

* One cheque can be issued for investing in multiple portfolios and should be made out in favour of "Invesco Asset Management (India) Private Limited - PMS A/c"
 Portfolio-wise breakup of investments to be provided in "Investment Amount" above. *Please fill in List of securities in Annexure 2.

4. Investment Profile

Investment Experience in Security Market (No. of years) Expected Investment Time Horizon (No. of years)

Percentage of total Investment Portfolio proposed to be invested with Portfolio Manager % (Optional)

Please (✓)

Investment Goals Capital Appreciation Regular Income Both
 Investment Objective Equity Balanced (Equity : Debt) Debt Mutual Fund
 All Securities Venture Fund Units Others (Pls specify) _____
 Risk Tolerance Level High Medium Low
 Systematic Withdrawals Monthly Quarterly Yearly On Request

Last 3 years' Income Details	FY 14-15	FY 15-16	FY 16-17
Annual Income	1.6 crores	2 crores	3 crores
Net Worth	1.04 crores	1.2 crores	1.3 crores

5. Other Details

Gross Annual Income Details Please (✓)
 Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs - 1 Crore > 1 Crore

Net-worth in Rs. (*Net worth should not be older than 1 year) as on (Dated)

Name, PAN, DIN / UID, residential address and photographs of Promoters / Partners / Karta / Trustees / whole time directors
 (Please use the Annexure to fill in the details)

Is the the entity involved/providing any of the following services

- For Foreign Exchange / Money Changer Services Yes No
- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicate) Yes No
- Money Lending / Pawning Yes No

Any other information _____



6. Introduced By

Organisation Name

Employee Name

Mr. / Ms. ABHISHEK RAT KUMAR

Employee Code

Address

MUMBAI

Signature

For Invesco Asset Management (India) Pvt. Ltd.

APRA

Authorised Signatory

7. Declaration & Signature(s)

I / We hereby declare that all the information and particulars given by me / us in this application are true to the best of my / our knowledge and belief. I / We agree to immediately inform you if there is any change in any of the information given in this application or in the Annexure(s) to this application. I / We also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted therefrom, you have a right to terminate the Portfolio Management Services. I / We agree to keep you informed of any action taken by any regulatory authorities for violation of Securities / Economic Laws. I / We also agree to furnish such further information as you or SEBI may require from me / us from time to time and I/we agree that if I / we fail to give such information, you shall have the right to terminate the Portfolio Management Services. I / We also authorise the Portfolio Manager to share the information / documents about me / us with any entity of the Invesco Group.

I / We wish to inform you that I / We have read and understood the contents of the Disclosure Document as specified in Schedule V of the SEBI (Portfolio Managers) Regulations, 1993, alongwith certificate in Form C as specified in Schedule I of the said Regulations. I / We confirm that the Portfolio Management Services Agreement, Fee Schedule, Account Opening Form and Disclosure Document were received by me two days / more than two days prior to entering into the Portfolio Management Services Agreement.

(Please) I / We hereby declare that I / we do not hold investments / interest in any body corporate which enables me / us to obtain unpublished price sensitive information.
OR

(Please) I / We hereby declare that I / we do hold investments / Interest in the body corporates as per list attached which enables me / us to obtain unpublished price sensitive information.

Name of the Authorised Signatory

Mr. / Ms. JITENDRA TARFE

Signature of the Authorised Signatory

For Invesco Asset Management (India) Pvt. Ltd.

JITENDRA TARFE

Date

27 06 2017

Place

MUMBAI

Authorised Signatory

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Portfolio Management Services Agreement

This Portfolio Management Services Agreement is made and entered into at Mumbai on this 26 day of JULY 2017 by and between Invesco Asset Management (India) Private Limited, a Company incorporated under the Companies Act, 1956 and having its Registered Office at 2101-A, A Wing, 21st Floor, Marathon Futurex, N. M. Joshi Marg, Lower Parel, Mumbai - 400 013 (hereinafter referred to as "the Portfolio Manager" or "Invesco Asset Management (India)", which expression shall, unless repugnant to or contrary to the meaning or context thereof, shall mean and include its successors and assigns) of the ONE PART; And

1) Mr. / Ms. / M/s. TARFE PRIVATE LIMITED COMPANY
 resident of/ having its registered office at/ MARATHON FUTUREX, SUBHASH ROAD, VILE PARLE
 having its principal place of business at MUMBAI-400053

2) Mr. / Ms. _____
 resident of _____
 and _____

3) Mr. / Ms. _____
 resident of _____

(hereinafter referred to as "the Client" which expression shall, unless repugnant to or contrary to the meaning or context thereof, shall mean and include his/her/its legal heirs, successors, administrators, and permitted assigns) of the OTHER PART.

(The Portfolio Manager and the Client are hereinafter jointly referred to as "Parties" and individually as "Party")

WHEREAS:

- (a) The Portfolio Manager holds a valid certificate of registration under the Securities and Exchange Board of India (Portfolio Managers) Regulations, 1993, hereinafter referred to as "the SEBI Regulations" to carry on the business of the portfolio management services vide Registration no. PM/INPO00005273.
- (b) The Client is desirous of availing the Portfolio Management Services as offered by the Portfolio Manager and approached the Portfolio Manager for utilizing the services of the Portfolio Manager in relation to his funds.
- (c) The Portfolio Manager has provided to the Client a copy of Portfolio Management Services Agreement, Fee Schedule, Account Opening Form and Disclosure Document two days before the date of this Agreement and the Client has read and understood the disclosures made therein.

The Portfolio Manager and the Client hereby accord their mutual understanding and common intention in the manner as hereinafter provided.

NOW THEREFORE, IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:-

I. Definitions

- Unless the context or meaning otherwise requires, in this Agreement (including in the recitals hereinabove and the annexures and schedules, if any, hereto) the following expression shall have the meaning assigned to them hereafter:
- I.I "Account Opening Form" means the application form(s) submitted by the Client to the Portfolio Manager indicating inter-alia (a) the amount; (b) the Client's investment objective and any restrictions on the investment that need to be complied with. The Account Opening Form shall form part of this Agreement.
 - I.II "Agreement" means this Portfolio Management Services Agreement along with the Account Opening Form, schedule(s) and annexure(s) attached thereto and Product Notes or Terms Sheets, signed by Client.
 - I.III "Custodian" means a Custodian registered under Securities and Exchange Board of India (Custodian of Securities) Regulations, 1996 appointed by the Portfolio Manager for maintaining custody of funds and securities of the Client.
 - I.IV "Disclosure Document" means Disclosure Document prepared by Portfolio Manager, as updated from time to time and filed with SEBI, pursuant to the Regulations.
 - I.V "Portfolio" means the Securities and/or funds managed by the Portfolio Manager on behalf of the Client pursuant to this Agreement and includes any Securities and/or funds mentioned in the Account Opening Form, any further Securities and/or funds placed by the Client with the Portfolio Manager for being managed pursuant to this Agreement, Securities or other realization of the portfolio acquired by the Portfolio Manager through investment of funds and bonus, dividends or other receipts and rights in respect of Securities forming part of the portfolio, so long as the same is managed by the Portfolio Manager under this Agreement.
 - I.VI "Regulations" or "SEBI Regulations" means Securities and Exchange Board of India (Portfolio Managers) Regulations, 1993 as amended from time to time.

- I.VII "SEBI" means Securities and Exchange Board of India established under section 3 of the Securities and Exchange Board of India Act, 1992.
- I.VIII "Securities" means security as defined in Section 2(h) of the Securities Contract (Regulation) Act, 1956, provided that securities shall not include any securities which the Portfolio Manager is prohibited from investing in or advising on under the Regulations or any other law, for the time being, in force.
- I.IX "Term Sheet/Product Note" means any term sheet or product note executed by the Client for availing any services of the Portfolio Manager pursuant to this Agreement.
- II. Interpretation:
 In this Agreement, unless the context or meaning thereof otherwise requires:
 II.I Words denoting the singular shall include the plural and vice versa;
 II.II The pronouns "he", "she", "it" and their cognate variations are used as interchangeable and should be interpreted in accordance with the context;
 II.III Words denoting a "Person" or "Client" shall unless the context otherwise requires to include an individual, corporation, company, partnership, trust or other entity;
 II.IV Heading and bold type face are used only for convenience, ease of reference and shall be ignored for the purposes of construction or interpretation of any provision of this Agreement;
 II.V References to the word "include" or "including" shall be construed without limitation;

1. APPOINTMENT OF PORTFOLIO MANAGER

- 1.1 The Client hereby appoints Invesco Asset Management (India) as its Portfolio Manager to provide Portfolio Management Services and other administrative services as detailed herein (hereinafter referred to as "the Services") in respect of the Portfolio in accordance with the provisions of this Agreement and the Regulations.

2. SCOPE OF SERVICES

- 2.1 The Portfolio Manager will provide Portfolio Management Services which may be in the nature of investment management/advisory/investment consultancy and/or administration of the Portfolio, as per the investment objectives and restrictions, if any and in accordance with the SEBI Regulations, as amended from time to time. Subject to such investment objective and restriction and except where the Portfolio Manager acts as a non-discretionary Portfolio Manager, the Portfolio Manager, normally acting as a Portfolio Manager, will have complete discretion to buy, sell, retain, exchange or otherwise deal in any Securities, place deposits, subscribe to issues and offers for sale and accept, placing of any securities, effect transactions in any markets, take day to day decisions in respect of the Portfolio. It is clarified that in providing such Services, the Portfolio Manager is not guaranteeing or assuring any return directly or indirectly.
- 2.2 The Portfolio Manager shall act in a fiduciary capacity and as a trustee and agent with regard to the Client's Portfolio.

of Invesco Asset Management (India) Pvt. Ltd.

 Authorised Signatory
 First / Sole Applicant

Second Applicant

Third Applicant



- 2.3 The Portfolio Manager shall be responsible for custody of Securities and/ or funds received from the Client in accordance with the provisions of this Agreement.
- 2.4 The Portfolio Manager shall keep track of corporate benefits and claim and receive all such benefits such as dividends, bonuses, etc., in respect to the Securities in the Client's Portfolio.

3. INVESTMENT OBJECTIVES AND GUIDELINES

- 3.1 The Client shall set out the investment objective and restrictions to be complied in respect of the Portfolio in the Account Opening Form, Terms Sheet or Product Note.
- 3.2 The Portfolio Manager shall invest Client's funds in capital and money market instruments including but not limited to Securities and derivatives, as may be permitted under the applicable law including any regulations, guidelines issued by SEBI, in such a manner and through such markets as it deems fit in the interest of the Client.

The exposure limits for securities will be as given below or as may be specified in the Term Sheet or Product Note signed by the Client:

Type of Securities	Allocation In Percentage
Equity & Equity Related securities	Upto 100%
Debt & Money Market Instruments	Upto 100%
Units of Mutual Funds including Exchange Traded Funds	Upto 100%
Any other specified securities	Upto 100%

- 3.3 The Portfolio Manager shall not deploy the Client's funds in bill discounting, badla financing or for the purpose of lending or placement with corporate or non corporate bodies, unless otherwise permitted by SEBI.
- 3.4 The Portfolio Manager shall not, while dealing with Client's funds, indulge in speculative transactions i.e. he shall not enter into any transaction for purchase or sale of any security which is periodically or ultimately settled otherwise than by actual delivery of security except the transactions in derivatives.
- 3.5 The Portfolio Manager shall be entitled to underwrite any securities or offer securities for sale, subject to compliance of applicable regulations.
- 3.6 The Portfolio Manager shall not lend Securities held in Client Portfolio except as in the manner permitted under the SEBI Regulations.
- 3.7 The Portfolio Manager shall be entitled, either by itself or through any person appointed by it, to do all such acts on behalf of the Client as the Portfolio Manager may in its absolute discretion consider necessary or advisable for the purpose of performance of the Services including trading in derivatives subject to compliance of applicable law and the terms stated herein and only to the extent permissible under the law prevailing at that time. The terms of trading in derivatives are:
- Quantum of Exposure: Upto 100% of market value of the Portfolio.
 - Manner & purpose of using derivative instruments: Portfolio Manager may use derivative instruments for any purpose whatsoever including hedging, portfolio rebalancing, yield enhancement etc., unless the use of derivatives for a purpose is restricted by the Regulations.
 - Type of derivative instruments: All types of derivatives including stock and index futures & options save for those in which investment by a Portfolio Manager is prohibited under the applicable law.
 - Terms of valuation of derivative: The derivatives shall be valued at the settlement/closing value (as per accounting policy of the Portfolio Manager) of the concerned derivative on the stock exchange(s)
 - Terms of liquidation/settlement: The derivative instruments may be liquidated at the prevailing market prices or may be allowed to expire/ to be exercised at the price specified by the stock exchange on the expiry date/ date of exercise as per the discretion of the Portfolio Manager in case of discretionary portfolio management services and as per the direction of the Client where the Portfolio Manager is acting as a non-discretionary portfolio manager.
- 3.8 All matters between the Client and the Portfolio Manager relating to the Services shall be governed by this Agreement. If the provisions of the Agreement conflicts with the provisions of a product offered by Portfolio Manager, or a specific Term Sheet or Product Note then the terms of such a product or Term Sheet or Product Note, as the case may be, shall prevail in so far as it does not conflict with any Portfolio Manager's duties or obligation under this Agreement or the Regulations.
- 3.9 Subject to applicable taxation laws, in force from time to time, the Portfolio Manager may deduct tax at source while effecting disbursement/ payments of amounts,

Interim or otherwise, to the Client under this Agreement and shall certify the debit of tax at source to the Client's Portfolio.

4. FUNCTIONS, OBLIGATIONS, DUTIES AND RESPONSIBILITIES OF PORTFOLIO MANAGER

The main functions, obligations, duties and responsibilities of the Portfolio Manager under this Agreement are:

4.1 FUNCTIONS, OBLIGATIONS, DUTIES AND RESPONSIBILITIES (IN GENERAL)

- 4.1.1 The Portfolio Manager shall manage the Client's Portfolio in accordance with the provisions of this Agreement, Regulations, SEBI Act, 1992 and guidelines issued there under, as amended from time to time.
- 4.1.2 The Portfolio Manager may open and operate one or more bank account(s), depository (demat) accounts and constituent subsidiary general ledger account (CSGL) and such other accounts as the Portfolio Manager may deem fit or necessary, on behalf of the Client for the purpose of management of Client's portfolio, and deposit and withdraw monies/securities in such accounts and fully operate the same for performance of its obligations under this Agreement. Such account(s) may be opened with any Scheduled Commercial Bank as per the discretion of the Portfolio Manager. These accounts will be solely operated by the Portfolio Manager or the Custodian to the exclusion of the Client and the Client hereby confirms and ratifies that it shall not exercise any rights in relation to these accounts.
- 4.1.3 The Portfolio Manager may arrange for the custody of Securities and funds held on account of the Client under this Agreement by keeping them in its own custody, or by outsourcing such activities to a Custodian, including an associate of the Portfolio Manager and may pay any fees for the said purpose, which shall be charged to the Client's account as per the provisions of this Agreement.
- 4.1.4 The Portfolio Manager may deal in Securities on behalf of the Client through any registered stock broker including an associate of Portfolio Manager or through private arrangements in such other manner as the Portfolio Manager may deem fit.
- 4.1.5 The Portfolio Manager may enter into any contract with any corporation or any other organization for the purpose of securing insurance cover or such other benefits as may be given by the corporation or other organization.
- 4.1.6 The Portfolio Manager may constitute committees consisting of such persons as it thinks fit or appoint advisors to guide and advice the operations of the Portfolio Manager and delegate suitable power to them and impose appropriate duties / restrictions on them and generally to do all acts, deeds, matters and things, which are necessary for performance of this Agreement or in relation to the management of the Client's Portfolio as per the terms of this Agreement.
- 4.1.7 The Portfolio Manager, in its absolute discretion, may act or delegate the performance of its duties, discretions and obligations hereunder to any of its employees) or to such agent(s) as it may think fit and may pay any fees/consultancy charges, which shall be charged to the Client's Portfolio as per the provisions of this Agreement.
- 4.1.8 The Portfolio Manager shall, where necessary in the interest of the Client take adequate steps for registration / transfer of the Client's securities in the name of the Client and/ or in the name of the Portfolio Manager for claiming and receiving all entitlements such as dividends, bonus, etc. The Portfolio Manager shall take necessary action for conversion of Securities and subscription/renunciation of/ or rights. However, the Portfolio Manager shall not hold listed securities belonging to the Client's Portfolio in its own name on behalf of its clients.
- 4.1.9 The securities held under this Agreement and requiring transfer/ registration in favor of the Client, will be transferred / registered either in his name or in the name of the Portfolio Manager in accordance with the prevailing Regulations and the client does hereby expressly give the requisite consent to the Portfolio Manager, for transfer/ registration of such securities held in Client's Portfolio by the Portfolio Manager under this Agreement. However, the Portfolio Manager shall not hold listed securities belonging to the Client's Portfolio in its own name on behalf of the Client.
- 4.1.10 The Portfolio Manager may, in its sole discretion, choose to effect interim disbursements of amounts against the amount payable to the Client, on annual or on such other frequencies, as the Portfolio Manager deems fit, without conferring any right on the Client to demand such other similar disbursements from the Portfolio Manager at any stage in respect to this Agreement.
- 4.1.11 The Portfolio Manager shall not invest and / or disinvest and / or deal in the Client's funds based on unpublished price sensitive information.
- 4.1.12 The Portfolio Manager may from time to time and subject to terms of this Agreement:
- purchase or sell Securities inter-se among its Clients;
 - have business relationships with companies or corporations whose Securities are held, purchased or sold for the Client's Portfolio.
 - purchase for and/or sale from Client's Portfolio, Securities in primary or

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secondary markets through any broker and/or dealer in Securities, to the extent permitted by applicable law, including entities in the same group.

(d) act as principal, agent or broker in a transaction and may be separately compensated in that capacity.

4.1.13 Any dividend, interest, rights, bonus, voting right, securities, etc., as well as residual cash balances, if any, arising out of the Services provided to the Client, shall accrue to or vest in the Client and shall, if accrued to and/or continue to vest with the Portfolio Manager, or, if received by the Portfolio Manager shall be turned/made over to the Client.

4.1.14 The Portfolio Manager shall deal exclusively with the Client in respect of this Agreement and may not, recognize or take cognizance of any privity of contract between the Client and any other person or entity.

4.1.15 The Portfolio manager shall generally purchase and/or sell securities separately for each client. However, in the event of aggregation of purchase or sales carried out for the purpose of economies of scale, the inter-se allocation between the clients shall be done on a pro rata basis and at the weighted average price of the day's transactions. The Portfolio Manager shall not keep any open position in respect of allocation of sales or purchases effected in a day and shall complete the allocation process on the same day on which sales and/or purchases are effected.

4.1.16 The Portfolio Manager may maintain a single bank account, accounts with various mutual funds, broking accounts, depository account (pool account) with Custodian etc. in the name as may be determined by the Regulations for all its Clients and operate the same, either by itself or through representatives.

4.1.17 The Portfolio accounts of the Portfolio Manager shall be audited annually by an Independent Chartered Accountant in accordance with the requirement of the Regulations and a copy of the certificate issued by the Chartered Accountant shall be given to the Client.

4.1.18 In the event of Client's Portfolio receiving an incorrect credit/ debit by reason of a mistake, Portfolio Manager shall be entitled to reverse such incorrect credit / debit at any time whatsoever. The Client shall be liable and continue to remain liable to the Portfolio Manager for any incorrect gain obtained as a result of the same.

4.2 FUNCTIONS, OBLIGATIONS, DUTIES AND RESPONSIBILITIES FOR DISCRETIONARY PORTFOLIO MANAGEMENT

4.2.1 For the Clients availing Discretionary Portfolio Management Services, the Portfolio Manager may at its sole discretion apply for, subscribe, obtain, buy, accept, acquire, endorse, transfer, redeem, renew, exchange, dispose, sell or otherwise deal in the Securities and generally manage, convert, transpose and vary the Investments in respect to the Client's Portfolio.

4.2.2 The Portfolio Manager shall deploy the Securities and/ or funds of the Client in accordance with the investment objective specified by the Client.

4.2.3 The Portfolio Manager shall individually and independently manage the Portfolio of each Client. The Securities in which investments / disinvestments are made by the Portfolio Manager may differ from Client to Client.

4.2.4 The portfolio managers' decision (taken in good faith) in deployment of the Clients' account is absolute and final and cannot be called in question or be open to review at any time during the currency of the Agreement or any time thereafter except on the ground of malafide, fraud, conflict of interest or gross negligence.

4.2.5 The liabilities of the Client availing Discretionary Portfolio Management Services, arising out of this Agreement shall be limited to the extent of his investments made under this Agreement.

4.3 FUNCTIONS, OBLIGATIONS, DUTIES AND RESPONSIBILITIES FOR NON-DISCRETIONARY PORTFOLIO MANAGEMENT

4.3.1 For the Clients availing Non-Discretionary Portfolio Management Services the Portfolio Manager, shall in accordance with the directions, instructions and order of the Client given in an agreed manner apply for, subscribe, obtain, buy, accept, acquire, endorse, transfer, redeem, renew, exchange, dispose, sell or otherwise deal in the Securities in the Client's Portfolio.

5. LIMITATION OF THE LIABILITY OF PORTFOLIO MANAGER

5.1 The Portfolio Manager may act upon any advice of or Information obtained from any bankers, accountants, brokers, custodians, professionals, agents or other persons acting as agents or advisers of the Portfolio Manager and the Portfolio Manager shall not be bound to supervise the acting of any such persons nor to verify the advice or information obtained there from and the Portfolio Manager shall not be liable for anything bona fide done or omitted or suffered in reliance upon such advice or information nor be responsible for the consequence of any mistake or oversight or error of judgment on the part of the Portfolio Manager or any attorney or agent or any other person appointed by it hereunder.

5.2 Except to the extent otherwise provided herein, no liability shall result to Portfolio Manager from delay in performance or from non-performance caused by circumstances beyond the control of the Portfolio Manager, including but not limited to act of god, fire, flood, explosion, war, theft, action or request of governmental authority, accident, labour trouble or shortage, inability to obtain material, power, equipment or transportation, but each of the Parties hereto shall be diligent in attempting to remove such cause or causes.

5.3 The Portfolio Manager shall not be under any liability on account of anything done or omitted to be done or suffered by the Client in accordance with or in pursuance of any request or advice made on the investment by any committee of the Portfolio Manager or any agents.

5.4 Without prejudice to the right of indemnity available to the Portfolio Manager under any law, the Portfolio Manager and every person appointed by the Portfolio Manager shall be entitled to be indemnified out of the Client's fund in respect of all liabilities, losses and expenses incurred by them in the performance of their functions hereunder or any of the powers, authorities and discretions vested in them pursuant to this Agreement or consequent to any mistake, oversight or error of judgment or want of prudence on the part of the Portfolio Manager and against all actions, proceedings, costs, claims and demands in respect of any matter or thing done or omitted in any way in relation to this Agreement and the Portfolio Manager shall have a lien and may retain any payout of any funds and securities in its hands towards all sums or other amounts necessary to give effect to such indemnity.

5.5 A Portfolio Manager shall not be responsible to any person including the Client for any loss or expenses resulting to any person and/ or Client, from the insufficiency or deficiency of value of or title of any assets or property or security acquired or taken on behalf of the Client or the insolvency or wrongful act of any debtor or any person under obligation to the Client or anything done in good faith in the execution of the duties under this Agreement.

5.6 The Client shall indemnify and keep indemnified the Portfolio Manager from and against any charges, including stamp duty, taxes and from and against all costs, charges and expenses incurred by or levied on the Portfolio Manager acting as an agent of the Client. The Portfolio Manager shall have a lien on the funds of the Client and the return thereon for the purpose of indemnifying itself as aforesaid.

5.7 The Portfolio Manager shall not be responsible for any loss or damage occasioned due to delays on the part of companies, corporations or other authorities including Government authorities in registering transfer of Securities or other factors beyond the control of the Portfolio Manager. The Securities which are so purchased and refused to be transferred in the name of the Client or the Portfolio Manager, by the company or corporation concerned, may be sold by the Portfolio Manager, at available market rate, at the risk and responsibility of the Client concerned and the Client hereby expressly consents to the same.

5.8 The Portfolio Manager does not provide any warranty (express or implied) as to the appreciation of the value of assets / Securities in which the Portfolio Manager invests Client's funds. The Portfolio Manager shall not be liable in case of depreciation in the value of assets/ Securities in which funds are invested by the Portfolio Manager, or any direct or indirect or consequential losses.

5.9 The Portfolio Manager shall not be liable for any negligence or lapse in execution of any instructions given by the Portfolio Manager to the broker, banker, custodian or any other agent appointed for carrying out activities pertaining to this Agreement.

6. COVENANTS OF CLIENT

6.1 The Client declares that he is eligible to enter into this Agreement and is entitled to perform its obligations under this Agreement. The Client having agreed to avail of the services offered by the Portfolio Manager shall be deemed to have satisfied himself with regard to his eligibility in this respect.

6.2 The Client hereby undertakes that all corporate, governmental and other consents that are required to have been obtained by him/it with respect to this Agreement are in full force and effect and all conditions of such approvals/consents/ permissions have been complied with.

6.3 The Client confirms that the Portfolio Manager shall have a first and paramount lien on all the assets in the Portfolio of the Client and the exclusive right thereon for the purpose of recovery of all unpaid dues (including but without limitation, professional fees, transaction charges, taxes, duties, costs and expenses) in connection with the management, operation and administration of Portfolio under this Agreement.

6.4 The Client shall open the depository account with a depository participant designated by the Portfolio Manager for holding of securities purchased by the Portfolio Manager under this Agreement. The Bank account details to be given by the Client for the said depository account shall be as may be provided by the Portfolio Manager. The Client shall enable the Portfolio Manager to receive / access transaction statements and other reports for the said depository account. The Client shall close the said depository account on termination of this Agreement.

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- 6.5 The Client hereby undertakes that execution, delivery and performance of this Agreement do not violate and conflict with the documents relating to constitution of the Client, any law applicable to the Client including the Income Tax Act, 1961, the Prevention of Money Laundering Act, 2002 and any other law / regulation relating to foreign investments, any order or judgment of any Court/ competent authority applicable to the Client or any of his assets or any contractual restrictions binding on or affecting him/it or any of his/ its assets.
- 6.6 The Client hereby confirms and agrees to adhere to the compliance of the policy of the Portfolio Manager pertaining to "Know Your Customer" (KYC) and Prevention of Money Laundering Act, 2002. The Client agrees to provide to the Portfolio Manager, such information as may be required from time to time for compliance of KYC. The Portfolio Manager reserves the right to report any suspicious transaction to the Director of Financial Intelligence Unit - India (FIU-IND), New Delhi, after applying appropriate due diligence measures and believes that the transaction is suspicious in nature within the purview of the regulations / circulars issued from time to time.
- 6.7 In the event of a change in the constitution, identity by change of name and / or residential status of the Client during the currency of this Agreement, it shall be the duty of the Client to keep the Portfolio Manager duly informed of such a change and submit necessary documents to the Portfolio Manager in this regard.
- 6.8 The Client hereby represents warrants and assures the Portfolio Manager and agrees and undertakes to the Portfolio Manager that:
- (a) The Portfolio, handed over to the Portfolio Manager upon execution hereof, absolutely belong to him and there is no encumbrance on the same, of whatsoever nature, and that he shall not create any encumbrance on the Portfolio, whether by way of pledge, lien, mortgage, hypothecation or any other charge, during the currency of this Agreement without prior approval of the Portfolio Manager.
- (b) Client shall at all times be in compliance with all relevant laws, rules and regulations as may apply to his Portfolio or dealing therein.
- 6.9 The Client acknowledges that the Client is aware of the obligations under the Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 1997 and Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992 and is solely responsible for the performance thereof. The Client agrees and undertakes to inform the relevant companies / stock exchanges etc. as may be required as well as the Portfolio Manager of any acquisition of Securities by him, directly or indirectly (whether or not through the Portfolio Manager), which will result in him incurring an obligation to make disclosures or announcements of the acquisitions upon reaching specified percentage limits or making an open offer under the Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 1997 and Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992.
- 6.10 Unless otherwise agreed in writing by the Portfolio Manager, the Portfolio Manager and the Client shall in no circumstances be considered as persons acting in concert or as persons co-operating with each other (directly or indirectly) or as persons having a common objective or purpose for substantial acquisition of shares or voting rights or gaining control over any company, whose securities / shares are purchased by the Portfolio Manager for and on behalf of the Client pursuant to this Agreement.
- 6.11 The Client shall disclose in writing its relationship interest in various corporate bodies, which shall enable the Client to obtain price sensitive information from such corporate bodies. The Client shall furnish any information required by the Portfolio Manager from time to time for compliance of any of the applicable regulations.
- 6.12 The Client agrees to execute, from time to time, one or more power of attorney(s) in the form and content required by the Portfolio Manager and / or to do such other acts or things as are necessary for the performance of this Agreement.
- 6.13 The Client agrees that the Portfolio Manager shall be entitled to treat any fax/ email/ phone call received / sent in the agreed mode as binding on the Client and the Portfolio Manager shall be entitled to take necessary steps in good faith as appropriate on basis of the said communication. The Client agrees to assume and bear all the risks involved in respect of errors and misunderstanding and the Portfolio Manager shall not be responsible in any manner for error in transmission or reception of such Fax/ Email/ Phone call or any misunderstanding or ambiguity or lack of clarity in the terms of such Fax/ Email/ Phone call and shall also not be liable for any claims, loss, damage, cost or expense and liability arising there from.
- 6.14 Taxation:
- 6.14.1 All taxes payable on any transaction entered into by the Portfolio Manager for and on behalf of the Client, whether by way of deduction, withholdings, and payment or otherwise, shall be fully borne by the Client. Payment of tax shall be the personal responsibility and liability of the Client. The Portfolio Manager is not by law, contract or otherwise required, to discharge any obligation on behalf of the Client to pay any taxes payable by the Client. If, however, any tax is paid by the Portfolio Manager to any tax authority on behalf of the Client, the Portfolio Manager shall be entitled to recover the same from the Client. If the Client does not pay, the Portfolio Manager has the unconditional and irrevocable authority to deduct or appropriate the same from any amount or Security held by the Portfolio Manager on behalf of the Client. In the event, however, no security or amount is available for reimbursement to the Portfolio Manager of any taxes paid by the Portfolio Manager, on behalf of the Client, the Client shall make such reimbursement forthwith on demand of the Portfolio Manager.
- 6.14.2 For Securities, if any, held in the name of the Portfolio Manager on behalf of the Client, as on date of declaration/ interest date or record date of any Company's dividend declaration, the Portfolio Manager shall receive the company's certificate of tax deduction at source for any dividend/ interest subjected to tax.
- 6.14.3 The Portfolio Manager shall distribute the net dividend / interest to each Client's Portfolio. Any tax arising on such disbursement shall be charged to the Client's Portfolio and shall be borne by the Client in full.
- 6.14.4 The Portfolio Manager shall not be required to undertake tax planning for the Client under this Agreement.
- 6.15 The Client acknowledges that he/it has received and read the Disclosure Document provided by the Portfolio Manager along with a certificate from a Chartered Accountant to the effect that the disclosures made in the document are true, fair and adequate to enable the investor to make a well informed decision.
- 6.16 The Client agrees that the Portfolio Manager may tape-record the conversation between the Client/ Client's representative and the Portfolio Manager in its absolute discretion, either personally or over the telephone and the Client expressly consents to the same. Such recordings may be relied upon by the Portfolio Manager as and when required, and the Client agrees not to challenge the evidentiary value of such recordings.
- 6.17 The Client authorizes the Portfolio Manager to register the Client's Securities/ funds belonging to his/its Portfolio in his/ her/ it's name or in the name of the Portfolio Manager for claiming and receiving all accruals, accretions, benefits, allotments, calls, returns, privileges, entitlements, substitutions and / or replacements or any other beneficial interest including dividend, interest, rights, bonus owing to the Client on account of such investments. Subscriptions/ renunciation of rights entitlements shall be at the sole discretion of the Portfolio Manager in case the Securities are registered in the name of the Portfolio Manager. In case the Securities are registered in the name of the Portfolio Manager, the Portfolio Manager shall have voting rights or any other rights in respect of the Securities held by it.
- 6.18 The Client agrees that the Portfolio Manager may maintain a single bank account, accounts with various mutual funds, broking accounts, depository accounts etc. for all its clients pertaining to the respective Portfolios and operate the same, either by itself or through its representatives.
- 6.19 The relationship of the Portfolio Manager with each Client is separate and independent and does not create any interest of whatsoever manner amongst the Clients inter-se or between the Clients as a group and the Portfolio Manager.
- 6.20 The Portfolio Management Account holders, where the mode of holding of the Portfolio Management Account is specified as, anyone or survivor, authorizes the Portfolio Manager to act upon instructions given by any one of the Portfolio Management Account holders. The Portfolio Management Account Holders agree that instructions given by any of the holders shall be valid and binding on all the Portfolio Management Account Holders.
7. RISK FACTORS
- 7.1 The Client acknowledges that he has read and accepted the Risk Factors as given in the annexure hereto and has understood the risk associated with investing the funds in various asset classes including risks associated to investment in capital and money market instruments including derivatives.
- 7.2 Neither the advice nor the investments made on account of the Client under this Agreement assure or guarantee the Client any minimum or fixed return or return of principal invested. Investments made are subject to various risks including market risks.
- 7.3 The Client acknowledges and confirms that the purchases and sale of Securities have inherent risks and accordingly, any loss, damage, cost, expenses, direct/ indirect or consequential on account of purchase and sale of assets / Securities by the Portfolio Manager with the funds of the Client shall be that of the Client. The Portfolio Manager shall not in any way, directly or indirectly be responsible or liable for the loss damage, cost, expenses, direct/ indirect or consequential, which arises to the Client for any reason what so ever.
- B. PERIOD OF AGREEMENT
- The Agreement shall be in force, unless terminated in accordance with the terms of this Agreement.

For Invesco Asset Management (India) Pvt. Ltd.

First / Sole Applicant **Authorised Signatory**

Second Applicant

Third Applicant



9. TERMINATION

- 9.1 Either party may terminate this Agreement by giving a prior written notice of minimum 30 (thirty) days to the other party or notice for such lesser period as may be agreed upon by the parties.
- 9.2 Notwithstanding anything, to the contrary, stated in this Agreement, the Portfolio Manager shall be entitled to terminate this Agreement with immediate effect in any of the following circumstances:
- (a) If the action of the Client is prima facie illegal/ improper or such as to manipulate the price of any Securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others;
 - (b) On the death/ lunacy or other disability of the Client;
 - (c) If a receiver, administrator or liquidator has been appointed or allowed to be appointed for all or any part of the assets of the Client;
 - (d) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets;
 - (e) If a Client being a partnership firm, has taken any steps taken by the Client and/ or its partners for dissolution of the partnership;
 - (f) If the Client has made any material misrepresentation of facts;
 - (g) If the Client is in breach of any term, condition or covenant of this Agreement; or
 - (h) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However, notwithstanding any termination of the Agreement, all transactions made under/ pursuant to this Agreement shall be subject to all terms and conditions of this Agreement.

- 9.3 In the event of suspension or cancellation of the certificate of registration, of Portfolio Manager by any competent authority and / or winding up / liquidation of Portfolio Manager, the Agreement shall stand terminated with effect from the date of such an event.
- 9.4 In the event that this Agreement is terminated for any of the reasons, the Portfolio Manager shall take or cause to be taken, all necessary steps to close and/or transfer all accounts maintained by the Client with the Portfolio Manager and/or any agents or sub-agents in relation to Services provided under this Agreement, within a period of 30 (thirty) days from the date of receipt of termination notice and simultaneously the Client shall provide all necessary cooperation and support to the Portfolio Manager in closing and/or transferring its accounts and shall pay any dues, liabilities, obligations etc. due in its account under this Agreement.
- 9.5 The Portfolio Manager shall, on termination of this Agreement, unless the Client instructs the Portfolio Manager, in writing, at least 30 (thirty) days prior to the termination of this Agreement to receive back the Securities in his name, and subject to the Client fulfilling all his obligations under this Agreement, arrange to pay to the Client the net realised value (i.e. gross market value net of costs of realization and outstanding dues, if any) of Securities held in the Client's Portfolio, as well as cash balances, if any, by depositing the same in the bank account of the Client last registered with the Portfolio Manager or shall arrange to issue cheque in favour of the Client (first holder). The amount so realized, and/or the Securities together with residual cash balances, if any, due and belonging to the Client, shall be made over to the Client, subject to the following deductions:
- (a) Interim disbursements, if any, of amounts paid to the Client
 - (b) Portfolio management fee levied accrued and due to the Portfolio Manager till the date of this agreement.
 - (c) Transaction fee or exit load levied and/or to be levied by the Portfolio Manager.
 - (d) Incidental expenses at actual incurred by the Portfolio Manager on account of the Client
 - (e) All taxes, rates, fees, duties, commissions, costs, charges, penalties, deductions, recoveries and/ or appropriations etc. to be made in accordance with law or otherwise on account of the Clients.
 - (f) Any other dues, liabilities, obligations etc. owed by/due on account of the Client under this Agreement.

- 9.6 The Portfolio Manager, by disbursement through payment or otherwise as provided herein, subject to all the above recoveries, deductions and appropriations, will be validly discharged of all its obligations owed to the Client in respect of this Agreement.

10. NOMINATIONS

Client may subject to applicable laws, nominate one or more person to receive the Client's Portfolio or net realized value of the Portfolio upon the Client's death, subject to the completion of necessary formalities as may be prescribed by the Portfolio Manager. It is hereby clarified that the nominee(s) under the nomination facility provided herein shall

not necessarily acquire any title or beneficial interest in the Portfolio by virtue of this nomination. The nominee(s) shall hold the Portfolio only as an agent/trustee and will hold the Portfolio in trust for and on behalf of the estate of the Client and his/her/their legal heirs or legatees as the case may be. Where the Client is more than one person, they may jointly nominate a person(s) in whom all the rights in the Client Portfolio shall vest in the event of death of all. In that case, all the joint holders must sign the nomination form.

In the event of a Client who has not availed of nomination facility or if the nominee does not survive the Client or is untraceable, then Portfolio Manager shall not be under an obligation to handover the Client's Portfolio to any person unless such person establishes to the absolute satisfaction of the Portfolio Manager, its title to the Client's estate and the Portfolio Manager may demand from such person such evidence including probate, will or court decree etc to establish the title of such person and may further require such person to execute such indemnity in favour of the Portfolio Manager as the Portfolio Manager may deem fit. The Portfolio Manager shall not be liable for any depreciation in value of Portfolio or losses to the Portfolio during the period between the termination of this Agreement and the handing over the Portfolio to the successor of the Client. The Portfolio Manager shall be entitled to recover all charges including custody charges, holding fees, transfer charges, etc. from the Portfolio so long as the Portfolio is not transferred back to the successors or nominees of the Client.

Portfolio Manager shall not be liable to any person in any manner for handing over the Portfolio of the Client to a person which the Portfolio Manager in good faith believes to be entitled thereto.

11. ACCOUNTS & REPORTS

- 11.1 The Portfolio Manager shall maintain a separate record of the Clients' Portfolio in the name of the Client in its books of account for accounting the assets of the Client and any income, receipts and disbursements in connection therewith. The records of Portfolio Manager shall provide details of investments and/or disinvestments made and all credits to the Clients Portfolio by way of accruals, accretions, benefits, allotments, calls, refunds, returns, privileges, entitlements, substitutions and/or replacements or any other beneficial interest including dividend, interest, rights, bonus received from time to time as well as all debits as provided herein shall be reflected in the Client's Portfolio.
- 11.2 The Portfolio Manager shall in compliance with the Regulations furnish a statement of accounts to the Client on a periodical basis or as and when required by the Client. The Portfolio Manager may make necessary arrangements for the viewing of these reports by the Client on the Portfolio Manager's website.
- 11.3 The books and accounts of the Portfolio Manager relating to the Clients' funds/transaction shall be audited annually by an independent chartered accountant and a copy of the certificate issued by the chartered accountant shall be forwarded by the Portfolio Manager to the Client.

12. QUANTUM OF FUNDS TO BE MANAGED

- 12.1 The Client shall place with the Portfolio Manager an initial corpus comprising of permissible assets (funds and / or Securities) of total value, which shall not be less than the minimum acceptable portfolio value as defined by the Portfolio Manager from time to time. Such minimum acceptable portfolio value shall be subject to the minimum amount as stipulated under the Regulations, as amended from time to time.
- 12.2 The Client may withdraw funds/ Securities from his Portfolio with the Portfolio Manager under this Agreement at his discretion subject to payment of applicable fees / charges and maintenance of the minimum acceptable portfolio value as prescribed.
- 12.3 The Client may bring in additional funds and/ or Securities to its existing Portfolio or by subscribing to new Portfolio.
- 12.4 The Portfolio Manager may demand additional funds and/ or Securities to be added to the Client's Portfolio by the Client in complying with the requirement of maintaining the minimum acceptable portfolio value as required under the Regulation. The Client shall be responsible to make good such deficiencies on demand by the Portfolio Manager. In the event the client fails to make such additions to the Portfolio within the stipulated time, Portfolio Manager may redeem the Portfolio in terms of this Agreement.
- 12.5 Without terminating this Agreement, the Portfolio Manager at its sole discretion reserves the right to give early redemption facility to the Client, subject to exit load as may be specified from time to time.

13. ACCESS TO INFORMATION

- 13.1 The Client may appoint a chartered accountant to audit the books of accounts of the Portfolio Manager relating to his/its transaction/ account after giving a prior notice of at least fifteen (15) days for such audit. Provided that such audit shall take place on a working day within the working hours of the Portfolio Manager and as feasible/practicable to the Portfolio Manager.
- 13.2 The Portfolio Manager shall, within reasonable limitations, cooperate and supply the following documents, information relating to the management of the Client's Portfolio to such chartered accountant :-
- (a) Documents pertaining to the composition and the value of the portfolio, description of security, number of securities, value of each security held in the portfolio, cash balance and aggregate value of the portfolio as on the date of report;

For Invesco Asset Management (India) Pvt. Ltd.

First / Sole Applicant

Authorised Signatory

Second Applicant

Third Applicant



- (b) Documents pertaining to transactions undertaken during the period of report including date of transaction and details of purchases and sales;
- (c) Documents pertaining to benefits received during that period in respect of interest, dividend, bonus shares, rights shares and debentures;
- (d) Documents pertaining to expenses incurred in managing the portfolio of the Client;

Provided however, that the Portfolio Manager shall be obliged to furnish to the Client, documents and information, relating only to the management of the Client's Portfolio.

13.3 The Portfolio Manager represent that the statements / documents / reports furnished by the Portfolio Manager to the Client shall present a true and fair picture of the actual transactions.

14. FEES AND CHARGES

- 14.1 The Portfolio Manager shall receive remuneration for services rendered to the Client as per the terms of this Agreement as well as reimbursement of costs and expenses, as more particularly described in the fees schedule attached to the agreement.
- 14.2 In addition to the portfolio management fees, the Client shall pay to the Portfolio Manager, transaction costs including but not limited to bank charges, turnover tax, securities transaction tax or any other tax levied by statutory authorities, audit fees, legal fees, insurance premiums, brokerage charges, safe custody fees, demat fees, and/or disbursement made in respect of the investments (and/or disbursements) made under this Agreement during the subsistence of this Agreement, or otherwise, whether or not such fees, costs, charges, taxes have been specifically considered at the time of final settlement at the time of termination of this Agreement.
- 14.3 The above fee, charges and expenses shall be directly debited to the Client's Portfolio as and when the same becomes due for payment and the Client gives his consent for the same.
- 14.4 For the purposes of this Agreement, the Client agrees that the Portfolio Manager may utilize the services of any third party and/or any service provider for providing the Services under this Agreement to the Client. Further, Portfolio Manager shall be in its absolute discretion to seek any services from its associates. The Client is aware and agrees that the fees and charges payable for availing such services shall be debited to the Client's Portfolio, which shall be in addition to the Portfolio Management fees and other charges payable by the Client.
- 14.5 The Portfolio Manager shall be entitled to recover all incidental expenses in the form of stamp duties, registration charges, brokerage, commission, compensation, professional fees, legal fees, consultancy charges, service charges etc. and such other expenses, duties, charges incurred on behalf of the Client on account of the service provided to him.
- 14.6 Upon termination, fees due and payable for the period since the last fee payment would be calculated by the Portfolio Manager on proportionate basis for the number of days till termination in accordance with the fee schedule annexed to this Agreement.
- 14.7 Receipts of payments shall be evidenced by way of entries in the books of accounts and where received through bank instruments, the Client may obtain receipt thereof on demand.

15. CONFIDENTIALITY

Neither party hereto shall during the continuance of this Agreement or after its termination disclose to any person, firm, company or institution whatsoever (except with the authority of other party or except as required by the laws; or unless ordered to do so by a court of competent jurisdiction or any relevant regulatory authority) any information relating to the business, investments, finances or other matters of a confidential nature of any other party of which it may in the course of its duties hereunder or otherwise become possessed and each party shall use all reasonable endeavors to prevent any such disclosure as aforesaid.

Notwithstanding the foregoing, the Portfolio Manager shall be entitled to disclose the information of the client to its agents, custodians, third parties from whom the Portfolio Manager avails any services, or otherwise discloses Client's information to a third party for a purpose and the Client expressly consents to the same.

The Client consents to disclosure by the Portfolio Manager to any relevant exchange or any other regulatory body or authority such information (including, without limitation, information relating to your transactions and accounts) relating to services provided to the Client pursuant to this Agreement as may be requested by them, or that we may otherwise be required to disclose.

Notwithstanding anything, to the contrary, the Client specifically authorises the Portfolio Manager to use, store or otherwise process any such information (whether provided electronically or otherwise) to administer this Agreement, provide Services to the Client, including without limitation, monitoring and analysing the conduct of Client's account, assessing any credit limit or other credit decision (as well as the fees and other charges to be applied to the Client's account) and enabling the Portfolio Manager to carry out statistical and other analysis, and otherwise market services and products to the Client.

The Client acknowledges and agrees that in doing so, the Portfolio Manager may transfer or

disclose such information to any other group company or third party wherever located in the world. Such parties may include those who provide services to the Portfolio Manager or its agents, and those to whom the Portfolio Manager transfers or proposes to transfer any of its rights or duties under this Agreement.

16. ALTERATION

The Portfolio Manager shall alter, vary, change or amend all or any of the terms and conditions of this Agreement including fees and charges contained herein with the written consent of the Client and thereupon, such altered, varied, changed or amended terms and conditions shall apply as if the same were expressly incorporated herein.

17. NOTICES

All notices to the Client shall be sent to the addresses, facsimile numbers or e-mail or address stated in the Account Opening Form or any other address thereafter provided by the Client in writing to the Portfolio Manager for the said purpose. All notices to the Portfolio Manager shall be sent by Registered Post (AD) at 2101-A, A Wing, 21st Floor, Marathon Futrex, N. M. Joshi Marg, Lower Parel, Mumbai - 400 013 or such other address as the Portfolio Manager may inform to the Client.

18. ASSIGNMENT

The Client shall not assign or transfer all or any of its rights or obligations under this Agreement to any third party without the prior written consent of the Portfolio Manager.

The Portfolio Manager may assign this Agreement, and its rights and the obligations hereunder to any third party, provided such party assumes the obligation of the Portfolio Manager under this Agreement. Upon such assignment, the Portfolio Manager shall stand discharged of all its obligation hereunder.

19. GOVERNING LAW

19.1 Subject to arbitration clause, Parties to this Agreement do hereby submit to the exclusive jurisdiction of the courts at Mumbai.

19.2 If at any time any provisions of this Agreement are held invalid or unenforceable by reason of any law, administrative order or judicial decision by any court, or regulatory or self regulatory agency or body, such invalidity or enforceability shall attach only to such provision or terms held invalid. The validity of the remaining provisions and terms of this Agreement shall not be affected thereby and these terms shall be carried out as if any such invalid / unenforceable provisions or terms of this Agreement were not contained herein.

19.3 This Agreement together with the Application, Annexure(s), Addendum(s), Schedule(s), Accounting Opening Form and Disclosure Document(s) attached hereto, Product Notes, Term Sheets constitutes the entire agreement between the Parties hereto with respect to the subject matter hereof and supersedes and cancels all previous agreements, negotiations, thereof.

19.4 This Agreement (and each amendment, modification and waiver in respect of it) may be executed and delivered in counterparts each of which will be deemed to be an original and will constitute one and the same document.

20. WAIVER

Any terms or conditions of this Agreement may be waived at any time by the Party that is entitled to the benefit thereof. Such waiver must be in writing and must be executed by the authorized officer of such party. A waiver on one occasion will not be deemed to be a waiver of the same or any other breach or non-fulfilment on any other occasion.

21. ARBITRATION

21.1 All disputes, differences, claims and questions whatsoever arising from this Agreement between the Client and the Portfolio Manager and/or their respective representatives touching this Agreement or any clause or thing herein contained or otherwise in any way relating to or arising from this Agreement shall be referred to a sole arbitrator appointed by the Portfolio Manager and such arbitration shall be in accordance with and subject to the provisions of the Arbitration and Conciliation Act 1996, or any statutory modification or re-enactment thereof, for the time being, in force and the award of the arbitrator shall be binding on the Parties.

21.2 Such Arbitration proceedings shall be held at Mumbai or such other place as the Portfolio Manager thinks fit. Each Party shall bear its own costs of preparing and presenting its case, and the cost of arbitration, including fees and expenses of the arbitrators, shall be shared equally by the Parties, unless the award otherwise provides.

22. ENTIRE AGREEMENT

This Agreement supersedes all prior discussions, information, writings, memorandums and documents exchanged and Agreements between the Parties with respect to the subject matter of this Agreement, and this Agreement is the sole and entire Agreement between the Parties hereto with respect to the subject matter hereof.

23. STAMP DUTY

Stamp duty on this Agreement shall be borne by the Client.

For Invesco Asset Management (India) Pvt. Ltd.

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First / Sole Applicant **Authorised Signatory**

Second Applicant

Third Applicant



IN WITNESS WHEREOF THE PARTIES HERETO HAVE SET THEIR HANDS ON THIS AGREEMENT:-

First / Sole Holder / Authorised Signatory

On behalf of Client

On behalf of Invesco Asset Management (India) Private Limited

Name Mr. / Ms./M/s. **TARFE Pvt. Ltd. Com.**

Signature **For Invesco Asset Management (India) Pvt. Ltd.**

Name Mr. / Ms./M/s.

Signature

Second Applicant / Authorised Signatory

Name Mr. / Ms. **Authorised Signatory**

Signature

Third Applicant / Authorised Signatory

Name Mr. / Ms.

Signature

Date DD MM YYYY Place

In the presence of witnesses :

First Witness

Name Mr. / Ms./M/s. **AMIT PEDNEKAR**

Signature **Amit Pednekar**

Date **27 07 2017**

Place **MUMBAI**

First Witness

Name Mr. / Ms./M/s. **NILESH MISHRA**

Signature **Nilesh Mishra**

Date **27 07 2017**

Place **MUMBAI**

Second Witness

Name Mr. / Ms./M/s. **VAGHAV PHADNIS**

Signature **VPh**

Date **27 07 2017**

Place **MUMBAI**

Second Witness

Name Mr. / Ms./M/s. **SIDDARTH DUBEY**

Signature **SD**

Date **27 07 2017**

Place **MUMBAI**

RISK FACTORS

1. General Risks associated with the Management of the Portfolio:
 - 1.1 Any act, omission or commission of the Portfolio Manager under this Agreement will be solely at the risk of the Client and the Portfolio Manager will not be liable for any act of omission or commission taken or failure to act save and except in cases of negligence, willful default and/or fraud of the Portfolio Manager.
 - 1.2 The Client undertakes all responsibilities and agrees to bear all risks arising out of refusal by a Company or Corporation for whatever reasons, to register the transfer of any of the Securities in respect of the Client's Portfolio. The Securities which are so purchased and refused to be transferred in the name of the Client or the Portfolio Manager by the Company or Corporation concerned, may be sold by the Portfolio Manager, at the available market rate, at the risk and responsibility of the Client concerned.
 - 1.3 The Client shall not question any of the acts, deeds, omissions or commissions or things done or performed by the Portfolio Manager under this agreement and the Portfolio Manager shall fulfill its duties and obligations, at its absolute discretion,

- without interference from the Client, his/her/its attorney (s) or authorised agent (s).
2. Risk Factors in relations to Securities Investments.
 - 2.1 Risk associated with Equity and Equity Related Securities:

Equity and Equity Related Securities by nature are volatile and prone to price fluctuations on a daily basis due to macro and micro economic factors. The value of Equity and Equity Related Securities may fluctuate due to factors affecting the securities markets such as volume and volatility in the capital markets, interest rates, currency exchange rates, changes in law/policies of the Government, taxation laws, political, economic or other developments, which may have an adverse impact on individual securities, a specific sector or all sectors. Consequently, the Value of the Client Portfolio may be adversely affected.

Further, the Equity and Equity Related Securities are risk capital and are subordinate in the right of payment to other securities, including debt securities.

Equity and Equity Related Securities listed on the stock exchange carry lower liquidity risk; however the Portfolio Manager's ability to sell these investments is limited by the overall trading volume on the stock exchanges. In certain cases,



settlement periods may be extended significantly by unforeseen circumstances. The inability of the Portfolio Manager to make intended securities purchases due to settlement problems could cause the Client to miss certain investment opportunities. Similarly, the inability to sell securities held in the Portfolio may result, at times, in potential losses to the Portfolio, should there be a subsequent decline in the value of securities held in the Client's portfolio.

The Portfolio Manager may invest in securities which are not listed on the stock exchanges. These securities may be illiquid in nature and carry a higher amount of liquidity risk, in comparison to securities that are listed on the stock exchanges or offer other exit options to the investor. The liquidity and valuation of the investments held in Portfolio, due to its holdings of unlisted securities may be affected if they have to be sold prior to the target date of disinvestment.

2.2 Risk associated with Fixed Income and Money Market Securities:

Interest - Rate Risk

Fixed Income and Money Market Securities run interest-rate risk. Generally, when interest rates rise, prices of existing fixed income securities fall and when interest rate falls, the prices increase. In case of floating rate securities, an additional risk could arise because of the changes in the spreads of floating rate securities. With the increase in the spread of floating rate securities, the price can fall and with decrease in spread of floating rate securities, the prices can rise.

Credit Risk

Credit risk or default risk refers to the risk that the issuer of a fixed income security may default on interest payment or even in paying back the principal amount on maturity. Fixed Income and Money Market Securities are subject to credit risk.

Lower rated or unrated securities are more likely to react to developments affecting the market and credit risk than the highly rated securities which react primarily to movements in the general level of interest rates. Lower rated or unrated securities also tend to be more sensitive to economic conditions than higher rated securities.

Liquidity or Marketability Risk

The ability of the Portfolio Manager to execute sale/purchase order is dependent on the liquidity or marketability. The primary measure of liquidity risk is the spread between the bid price and the offer price quoted by a dealer. The securities that are listed on the stock exchange carry lower liquidity risk, but the ability to sell these securities is limited by the overall trading volumes. Further, different segments of Indian financial markets have different settlement cycles and may be extended significantly by unforeseen circumstances.

Re-investment Risk

This refers to the interest rate risk at which the intermediate cash flows received from the securities in the Portfolio Manager including maturity proceeds are reinvested. Investments in fixed income securities may carry re-investment risk as interest rates prevailing on the interest or maturity due dates may differ from the original coupon of the debt security. Consequently, the proceeds may get invested at a lower rate.

2.3 Risks associated with Investing in Derivatives

Derivative products are leveraged instruments and can provide disproportionate gains as well as disproportionate losses to the investor. Execution of such strategies depends upon the ability of the Portfolio Manager to identify such opportunities. Identification and execution of the strategies to be pursued by the Portfolio Manager involve uncertainty and decision of Portfolio Manager may not

always be profitable. No assurance can be given that the Portfolio Manager will be able to identify or execute such strategies.

Derivative products are specialized instruments that require investment techniques and risk analysis different from those associated with stocks and bonds. The risks associated with the use of derivatives are different from or possibly greater than, the risks associated with investing directly in securities and other traditional investments. Other risks include risk of mispricing or improper valuation and the inability of the derivative to correlate perfectly with underlying assets, rates and indices, illiquidity risk whereby the Portfolio Manager may not be able to sell or purchase derivative quickly enough at a fair price.

2.4 Risks associated with Investing in Securitised Debt

Securitised debt may suffer losses in the event of delinquencies and credit losses in the underlying pool exceeding the credit enhancement provided. Securitised debt are subject to interest rate risk, prepayment risk, credit or default risk.

Further, Asset Backed Security (ABS) has structure risk due to a unique characteristic known as early amortization or early payout risk.

2.5 Risks associated with Securities Lending

As with other modes of extensions of credit, there are risks inherent to securities lending, including the risk of failure of the other party, in this case the approved intermediary, to comply with the terms of the agreement entered into between the lender of securities i.e. the Portfolio Manager and the approved intermediary. Such failure can result in the possible loss of rights to the collateral put up by the borrower of the securities, the inability of the approved intermediary to return the securities deposited by the lender and the possible loss of any corporate benefits accruing to the lender from the securities deposited with the approved intermediary. The Portfolio Manager may not be able to sell such lent securities and this can lead to temporary illiquidity.

2.6 Risks associated with investments in Mutual Funds:

The Portfolios may invest in schemes of Mutual Funds. Hence scheme specific risk factors of each such underlying scheme will be applicable to the portfolios.

2.7 Structured Products / Capital Protection Portfolios:

The Portfolios may invest in securities linked to index(s) and/ or underlying stocks or commodities and this could result in negligible returns or no returns over the entire tenor or part thereof of the Portfolio. Further, at any time during the tenor of the Portfolio, value of the Portfolio may be substantially less than the actual value of the Portfolio at the end of tenor. Further, the Portfolio and the return and/or maturity proceeds of the Portfolio thereon, are not guaranteed or insured in any manner by any entity. In case of occurrence of any event caused by a Force Majeure, the Portfolio may be liquidated at a date much before the tenor of the Portfolio at a fair value.

Portfolios investing in debentures linked to silver/ gold may be affected by the prices of silver/ gold. The prices of silver/ gold may be affected by several factors such as demand and supply in India and in the global market, change in political, economical environment and government policy, inflation trends, currency exchange rates, interest rates, perceived trends in bullion prices, restrictions on the movement/trade of gold by RBI, GOI or by the country importing/ exporting silver/ gold in/ out of India etc.

2.8 The investment according to investment objective of a Portfolio may result in concentration of investments in a specific security / sector/ issuer, which may expose the Portfolio to risk arising out of non diversification. Further, the portfolio with investment objective to invest in a specific sector / industry would be exposed to risk associated with such sector / industry and its performance will be dependent on performance of such sector / industry.

I hereby acknowledge that I have received and understood this risk disclosures.

	Names	Signatures
First Applicant	Mr. / Ms. / M/s.	
Second Applicant	Mr. / Ms.	
Third Applicant	Mr. / Ms.	

For Invesco Asset Management (India) Pvt. Ltd

Authorised Signatory



Power Of Attorney

KNOW ALL MEN BY THESE PRESENTS THAT I / WE Mr. / Ms. / M/s. TARFE PRIVATE LIMITED COMPANY

and Mr. / Ms.

and Mr. / Ms.

residing at / having registered office at FUTUREX, SUBHASH ROAD, VILE PARLE, MUMBAI - 400055

(hereinafter referred to as "the Client" which expression shall include, unless repugnant to or inconsistent with the subject or context thereof, his/her/its legal heirs, successors, administrators and executors)

WHEREAS Invesco Asset Management (India) Private Limited, a Company incorporated under the Companies Act, 1956 bearing PMS registration number PM/INP000005273 and having its registered office at 2101-A, A Wing, 21st Floor, Marathon Futurex, N. M. Joshi Marg, Lower Parel, Mumbai - 400 013 (hereinafter referred to as "the Portfolio Manager" which expression shall include unless repugnant to or inconsistent with the subject or context thereof, includes its successors and assigns) has agreed to provide Discretionary Portfolio Management Services to me/ us and I/we have agreed to avail the same under the Portfolio Management Services Agreement (the "Agreement") dated

29.07.2017

NOW THESE PRESENTS WITNESS that I/we do hereby on my/our behalf as well as on behalf of any person(s) claiming under/through us including my/our survivor(s), legal heirs, successors in interest and assigns, do hereby nominate, constitute and appoint the Portfolio Manager acting through any of its employees/agents or assign as my/our true and lawful attorney (hereinafter referred to as "the said attorney") to do all or any of the following acts, deeds and things in relation to and concerning the Securities and/or funds placed by me/us with or given to the Portfolio Manager:

1. To make discretionary investment and/or reinvestment and/or disinvestment decisions regarding all or any assets, funds, Securities or monies etc. forming part of my portfolio and to give effect to such investment and/or reinvestment decisions to buy, sell, transfer and otherwise.
2. To make application(s) on my/our behalf to any authorities such as the Central Government, Securities and Exchange Board of India, Reserve Bank of India, Stock Exchanges, Brokers, Companies, Body Corporate, governmental/non - governmental bodies, municipal bodies etc. for purchase/transfer/holding of various securities as per terms of the Agreement entered into by me/us with the Portfolio Manager and as per any instructions given by me/us to Portfolio Manager hereafter and to represent me in all respects before such authorities and establish the ownership of the assets contained in the Portfolio in my/our name.
3. To acquire from the funds in my Portfolio, by subscribing to or by purchasing any Securities including but not limited to those of any State Government or Central Government or Company or body corporate or otherwise and to sell, transfer and endorse the Securities or redeem the same including through internet from time to time, and/or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, applications and papers as may be necessary for the purpose of acquiring or transferring/redeeming the same, marking pledge/lien on such Securities and/or transferring the investments from one scheme to another or between Mutual Funds/Companies etc.
4. To make applications for or to renounce and sign renunciation forms in respect of various assets including but not limited to bonds/debentures, rights shares and additional shares of any Company or body corporate and to receive and hold such rights or additional shares, bonds or debentures.
5. To make application(s) to Companies or corporate bodies for splitting, consolidation, redemption, conversion of the Securities.
6. To enter into, execute, deliver and amend all contracts, agreements and other undertakings as may be required, necessary or advisable or incidental to the carrying out of the objectives of the Agreement.
7. To arrange for the custody of Securities and funds held on account of the Client under the Agreement by keeping them in its own custody, or by outsourcing such activities to a Custodian.
8. To open depository account with Depository Participant with such correspondence address as the Portfolio Manager may think fit for the Portfolio.
9. To operate designated depository account and to issue instructions relating to dematerializing or rematerializing of Securities, to give delivery/receipt instructions, to give pledge instructions/pledge closure instructions, lending and borrowing instructions and to do all such other things that may be necessary in the course of business relating to management of Portfolio.
10. To appoint, nominate or engage any broker and/or agent for effecting purchase and sale of the investments/Securities as mentioned above and to sign and submit such documents as may be required for my/our admission as a client of such broker.
11. To appoint and issue any instructions to any auditors for the purpose of auditing my accounts.
12. To demand, receive and give good and effectual receipt(s) and discharge(s) for all or any dividends, interest, bonuses or any other sum(s) and/or income and/or maturity proceeds arising from the investments/Securities and receipt all debts, sums of money, principal interest, dividend or other dues of whatever nature or account which are now or of any time may be due payable and belong to me/us in any of my/our account(s).
13. To sign contracts, agreements, transfer forms, acceptance receipts, acquaintance or other instruments, documents and forms for execution transactions pursuant to the Agreement; to accept and carry out correspondence with such person(s) or authority/authorities or department(s) and to do all lawful acts required for effecting the same.
14. To pay call money on Securities and to invest/reinvest monies amounts realized from sale, transfer, surrender of any Securities, as also all interest, dividend in any other investments/Securities/deposit/units of Mutual funds etc. upon such terms that the attorney may deem fit in the circumstances.
15. To negotiate with any person whether body corporate or otherwise and effect the purchase/sale of investments/Securities on such terms and at such price as the said attorney consider best under the circumstances.
16. To:
 - i. open, operate one or more bank account(s), on my/our behalf with any bank as per the discretion of the Portfolio Manager for the purpose of managing my/our portfolio. And that these Bank account(s) shall be operated only by the Authorized Signatory (ies) appointed by the Portfolio Manager and/or the Custodian and/or other agent(s) appointed by Portfolio Manager to the exclusion of the Client.
 - ii. open, operate one or more non resident bank account, if and when required, on my/our behalf with any bank for the purpose of managing my/our portfolio and if required to make applications to the Reserve Bank of India and/or any other authority for repatriation of funds and holding receipts, dividends etc. in respect of investments/Securities. And these Bank Account(s) shall be operated only by the Authorized Signatory(ies) appointed by the Portfolio Manager from time to time.
 - iii. prepare, sign and submit all forms, statements and declarations as may be required in respect of the bank account(s).
 - iv. avail the facility of electronic banking and such other services offered through electronic media in respect of my/our Bank account(s).
 - v. collect and use cheque book(s) from the Bank(s) where the account(s) is/are in my/our name.
 - vi. make, draw, sign, endorse, negotiate accept and release as the case may be cheques, drafts, Pay orders, Telegraph transfers/direct transfers on the internet for payment of money whether debit or credit in my/our account(s).

For Invesco Asset Management (India) Pvt. Ltd.

First / Sole Applicant

Authorised Signatory

Second Applicant

Third Applicant



- vii. withdraw or transfer any sums from the Bank account(s) and to close the said accounts(s).
- 17. To open, operate and close constituent securities general ledger account for and on my behalf to deal in government securities.
- 18. To attend, vote and otherwise act as attorney or proxy at meetings of the members, creditors, debenture-holders of any Company in which securities are acquired or held pursuant to the Agreement for and on my behalf and/or as per my/our instructions.
- 19. To comply and/or cause to be complied with all statutory and other requirements attached to or arising out of these presents and for these purpose to take such steps and actions necessary or proper, including signing of affidavits, indemnity, declarations, legal documents, deeds and writings required.
- 20. To apply to the relevant authorities/companies, body corporate etc. for and obtain all necessary approvals in relation to my investments and confirmations and/or my/our tax status and all tax and other payments which may be due to/from me/us from time to time in respect of the relevant investment and in connection therewith.
- 21. To appoint and employ agents, including Chartered Accountants, Advocates or other legal practitioners, overseers, receivers or other persons on such remuneration by way of fees, salary, commission or otherwise as the above named attorney may think proper and to dismiss and discharge them from time to time and to employ or appoint any other in their stead.
- 22. To make, verify, sign, execute and present on my/our behalf any plaints, vakalatnamas, appeals, affidavits or statements, petitions or any other paper as may be expedient in the opinion of the attorney to be made signed, executed, presented or filed before any authority/court of law etc.
- 23. To commence, prosecute, enforce, defend, answer or oppose any suit or other legal proceedings filed, instituted or commenced in connection with any or all matters to be dealt with by the Portfolio Manager including but not limited to Securities, Portfolio, accounts operated by the Portfolio Manager on my behalf, etc. In all such proceedings and for such purposes, to enter into a compromise or refer the dispute to arbitration or abandon any claim or submit to judgment or become non - suited in all such proceedings whether pending or not.
- 24. To rectify any defect in the institution of any suit or other action before any authority/ Court of law for prosecuting/defending any action before any authority/Court, by making such amendments as may be required and permissible under law and to do such acts deeds and things required to cure any such defect or appeal or revision now pending and arising out of any suit or proceeding which have since been disposed of.
- 25. To appoint any agents, representatives, service providers or other person as the Portfolio Manager may deem fit from time to time to perform any of the functions which the Portfolio Manager is empowered/obligated to perform and delegate to such persons the authorities/power to perform any of the functions to be performed by the Portfolio Manager and provide such instructions as the Portfolio Manager may deem fit from time to time to enable such performance.

AND GENERALLY to do, perform and execute all such other acts, deeds, instruments, matters and things for and on behalf of me / u s as may be necessary, proper or expedient to be done to give effect to the terms of the Agreement as fully and effectually to all intents and purposes as I/we would do if personally present and I/we ratify and confirm whatsoever the Portfolio Manager shall do or cause to be done by virtue of these presents.

AND it is hereby clarified and declared that the attorney being a Company the powers herein before granted may be exercised by any of its agents or employee or other persons to whom the attorney may delegate any of the powers aforesaid and accordingly the Portfolio Manager may appoint and remove any sub agent or attorney from time to time as it may consider appropriate.

I/We do hereby undertake to ratify whatever the said attorney may do in and by virtue of these presents and I/We hereby declare that the powers and authority conferred hereinbefore to and/or in favour of the said attorney is unconditional and shall be irrevocable during the subsistence of my/our the Agreement with Portfolio Manager. I/We further declare that with the execution of this power of attorney all the powers and authorities conferred hereinabove shall be exercisable solely by the attorney and that I/We shall not, until this power of attorney stands revoked, have the right to perform any act, except with the approval of attorney given in writing, the authority for the performance of which has been duly conferred on the attorney. I/We further declare that I/We shall not at any time act in a manner, which has given the effect of diluting, nullifying or vitiating the powers given to the attorney under this power of attorney.

This instrument shall be subject to the exclusive jurisdiction of the Courts in Mumbai alone.

IN WITNESS whereof I/We have executed this power of attorney on this

27 day of JULY 2017

Signed and delivered by*

First Applicant

JITENDRA TARFE

Signature

✍

Second Applicant

Signature

✍

Third Applicant

Signature

✍

COMPANY STAMP
For Invesco Asset Management (India) Pvt. Ltd.
Signature
Authorised Signatory

No.	Name of Witness	Signature of Witness
1.	Anish Maheshwani	✍ AAS
2.	Neelish Surve	✍ NS

*In case of Company: Duly authorised in that behalf in terms of the Board resolution passed by the Board of Directors of

on

DD MM YYYY

who have in token thereof affixed their signatures hereto above.

ANNEXURE 1A

LIST OF DIRECTORS/COPARCENERS/MANAGING DIRECTOR/WHOLE TIME DIRECTORS/
MANAGING COMMITTEE/PARTNERS/MEMBERS OF SOCIETY/ TRUSTEES

(To be printed on Letterhead)

Required on company
Letterhead only

No.	Name	Designation
1.	JITENDRA TARFE	DIRECTOR
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

For

Name of the Company
COMPANY STAMP
 For Invesco Asset Management (India) Pvt. Ltd.
 Signature

Director/Company Secretary/Managing Trustee
 Authorised Signatory

Date : 27 07 2017

Place : MUMBAI

ANNEXURE 1B

LIST OF AUTHORIZED SIGNATORIES

(To be printed on Letterhead)

[Required on company Letterhead only]

No.	Name	Designation
1.	JITENDRA TARFE	DIRECTOR
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

For

[COMPANY STAMP]
 For Invesco Asset Management (India) Pvt. Ltd.
 Signature

Director/Company Secretary/Managing Trustee/Authorised Signatory

Date : 27 07 20 17

Place : MUMBAI

ANNEXURE 1C

DETAILS OF PROMOTERS/MANAGING DIRECTOR/WHOLE TIME DIRECTOR/MANAGER/
PARTNERS/KARTA/*DIRECTORS/TRUSTEES/AUTHORISED SIGNATORIES

(To be provided for each of the designated persons for Non-Individuals)

PHOTOGRAPH
AND
SIGN ACROSS
IT.

UID / AADHAAR NO

DIN NO

PAN NO.

Name of the Body Corporate/Firm/
Trust

TARFE PRIVATE LIMITED CO

Full Name

Mr. / Ms. JITENDRA TARFE

Date of Birth

03/06/1956

Designation

DIRECTOR

Relationship with Applicant

(i.e. Promoters, Whole Time Directors etc.)

DIRECTOR

Residential Address

F-301, GODAVI HOUSING SOC., RAM ROAD,
SANTACRUZ, MUMBAI -400059

City

MUMBAI

PIN

State

MAHARASHTRA

Country

INDIA

Tel. (Off)

Tel. (Res)

Fax

Mobile No

98128128XX

E-mail ID

abc@xxx.com

Politically Exposed Person

Yes

No

Related to Politically Exposed Person

Yes

No

Specify the proof of Identity submitted

PAN COPY

Specify the proof of Address submitted

LIGHT BILL

Declaration & Signature(s)

I / We hereby declare that all the information and particulars given by me / us in this application are true to the best of my / our knowledge and belief. I / We agree to immediately inform you if there is any change in any of the information given in this application or in the Annexure(s) to this application. I / We also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars have been suppressed or omitted therefrom, you have a right to terminate the Portfolio Management Services. I / We also agree to furnish such further information as you or SEBI may require from me / us from time to time and I/we agree that if I / we fail to give such information, you shall have the right to terminate the Portfolio Management Services. I / We also authorise the Portfolio Manager to share the information / documents about me / us with any entity of the Invesco Group.

Place

MUMBAI

Date

27/07/2017

Signature of the above Person
and Rubber Stamp

For Invesco Asset Management (India) Pvt. Ltd.

Authorised Signatory

* Any two Directors in charge of Day to Day operations.

ANNEXURE 2

LIST OF SECURITIES

List of Assets / Securities brought in at the time of signing of the Portfolio Management Services Agreement :

No.	Security	Type of Security	ISIN	Qty.	Acquisition Date	Acquired Rate (Rs.)
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						
13.						
14.						
15.						

Note:

- 1 The assets/securities proposed to be brought in by the Client at time of signing of the Portfolio Management Services Agreement should be acceptable to the Portfolio Manager
- 2 Please use additional sheets in case this sheet is insufficient for providing details of total number of Securities brought in.
- 3 Please indicate the acquisition date and rate.
- 4 In case the Securities' acquisition date and acquisition rate is not indicated, the Portfolio Manager will consider the date of this Agreement & prevailing market value as the relevant acquisition date & rate for the purpose of calculation of capital gains

Signature of
Applicants

ANNEXURE 3
PORTFOLIO CONSTRUCTION

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

To,
Invesco Asset Management (India) Private Limited
2101-A, A Wing, 21st Floor,
Marathon Futurex, N. M. Joshi Marg,
Lower Parel, Mumbai - 400 013.

Dear Sir,

With respect to my / our Portfolio Management Services Account with you, please note that no investment should be made in the securities of the following companies for my Portfolio with you :

No.	Security	Type of Security	ISIN
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

I understand that my Portfolio will be run independently from the other portfolios, therefore the returns could vary from other portfolios.

Signature of Applicants

			
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ANNEXURE 4

INTIMATION OF INTERESTS IN BODY CORPORATE (COMPULSORY)

Date

To,
Invesco Asset Management (India) Private Limited
2101-A, A Wing, 21st Floor,
Marathon Futurex, N. M. Joshi Marg,
Lower Parel, Mumbai - 400 013.

Dear Sir,

This is to bring to your notice that I/We am/are interested in following corporate bodies which enables me / us to obtain unpublished price sensitive information.

No.	Applicant (1st, 2nd or 3rd)	Name of Body Corporate	Nature of Interest / Designation	No. of Shares held	Percentage of Paid up Capital
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					

I / We further undertake to intimate Invesco Asset Management (India) Private Limited from time to time of any additions / deletions / modifications to the above list. Further, we undertake to inform the Portfolio Manager of any holding / acquisition / sale of securities by me / us which, when aggregated with the holding of such securities by the Portfolio Manager in our Portfolio would require me / ourselves to make disclosures under Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 1997 and Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 1992.

Signature of Applicants

ANNEXURE 5

DECLARATION OF HUF

(To be printed on Letterhead)

Date

To,
 Invesco Asset Management (India) Private Limited
 2101-A, A Wing, 21st Floor,
 Marathon Futurex, N. M. Joshi Marg,
 Lower Parel, Mumbai - 400 013.

Sub: Subscription to Portfolio Management Services

We all the Coparceners (members) detailed below of the Hindu Undivided Family (HUF) do hereby authorize Karta of the family to open & operate Portfolio Management Service account on behalf of the above named HUF and we state that we are and shall always be jointly and severally responsible for all the transactions that are executed by the Karta and all his orders/deals shall be binding on the HUF and all its members jointly as well as severally.

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in writing.

No.	Name of the Coparceners	Signature of the Coparceners	Date of Birth
1.	HUF		DDMMYYYY
2.	HUF		DDMMYYYY
3.	HUF		DDMMYYYY
4.	HUF		DDMMYYYY
5.	HUF		DDMMYYYY
6.	HUF		DDMMYYYY

Signature not required in case the Coparcener is a Minor. All Coparceners should sign on the POA page 27 & 28.

ANNEXURE 6

SPECIMEN RESOLUTION FOR BODY CORPORATE

(To be printed on Letterhead)

[Required on Company Letterhead]

EXTRACT OF THE MINUTES OF THE MEETING OF THE BOARD OF DIRECTORS OF	Name of the Company
HELD ON	Date and Time
AT THEIR	Company's Registered Office Address

*RESOLVED THAT the Company appoint Invesco Asset Management (India) Private Limited as its Portfolio Manager to provide portfolio management and other administrative services for the funds / portfolio to be deployed by the Company.

RESOLVED FURTHER THAT	Mr. / Ms.	Designation
and / or	Mr. / Ms.	Designation

of the Company be and are hereby authorised to execute and sign Portfolio Management Services Agreement with Invesco Asset Management (India) Private Limited

RESOLVED FURTHER THAT Invesco Asset Management (India) Private Limited and its attorneys be and are hereby authorised to open and operate Bank Account(s) with Scheduled Commercial Bank(s) on behalf of the Company and operate Depository Account with National Securities Depositories Ltd. or Central Depository & Services (India) Ltd. opened in the name of the Company.

RESOLVED FURTHER THAT	Mr. / Ms.	Designation
and / or	Mr. / Ms.	Designation

of the Company be and are hereby authorised to sign Power of Attorney(s), Indemnities, Undertakings, Applications, Account Opening Form(s) and other documents and do such other things as may be necessary for obtaining Portfolio Management Services from Invesco Asset Management (India) Private Limited

For

Name of the Company

Director/Company Secretary/Authorised Signatory

Specimen Signatures of Authorised Signatories

No.	Name	Designation	Signature
1.			
2.			

For

Attested

Name of the Company

For Invesco Asset Management (India) Pvt. Ltd.

COMPANY STAMP

Signature

Authorised Signatory

Director/Company Secretary/Authorised Signatory

ANNEXURE 7

COMBINED LETTER OF AUTHORITY TO TRANSACT FOR PARTNERSHIP FIRM/ TRUST

(To be printed on Letterhead)

To,
 Invesco Asset Management (India) Private Limited
 2101-A, A Wing, 21st Floor,
 Marathon Futurex, N. M. Joshi Marg,
 Lower Parel, Mumbai - 400 013.

Dear Sir,

Sub: Subscription to Portfolio Management Services

This is with reference to the proposed Portfolio Management Services Agreement for availing Portfolio Management Services and other administrative services rendered by Invesco Asset Management (India) Private Limited ("the Portfolio Manager") to M/s. _____ ("the Firm/ Trust") a Partnership Firm/ Trust having office at _____

In this regards we confirm the following:

A. Authority to transact with the Portfolio Manager :

We would like to inform that following persons are authorized, either singly or jointly by any two, to submit transaction requests including for subscription, withdrawal, switch etc and to sign other documents on behalf of the Firm / Trust in relation to the Portfolio Management Services Agreement with Portfolio Manager:

No.	Name of Signatory	Signature
1.		
2.		
3.		

B. Demat Account for the purpose of Portfolio Management Services:

We are given to understand that a beneficiary account cannot be opened with a depository participant in the name of the partnership firm/Trust as per regulations. To facilitate the operation of the above Portfolio Management Services Agreement with you and for purposes of completing the securities transfer obligations pursuant to the operations in the Portfolio Management Services Agreement, we authorise you to recognize the beneficiary Depository Account to be opened with _____ in the name of the authorised partner(s) / Trustees of the above named partnership firm /Trust.

We agree that the obligations for shares purchased and / or sold by the firm / Trust will be handled and completed through transfers to / from the abovementioned beneficiary depository account. We recognize and accept transfers made by you to / from the beneficiary depository account as complete discharge of obligations by you in respect of trades executed in the above Portfolio Management Services account of the Firm / Trust.

Signed by all Partners / Trustees of Firm / Trust

No.	Name of Partner / Trustee	Signature
1.		
2.		
3.		

ANNEXURE 8

(To be printed on Letterhead)

SHAREHOLDING PATTERN AS ON

DD	MM	YYYY
----	----	------

(To be submitted every year as on March 31)

No.	Name of Shareholders	No. of shares	Equity (%) of Share Capital
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
Total			

For

Name of the Company



To be signed by Director / Company Secretary along with Company Seal

ANNEXURE 9

FATCA & CRS Information (Self Certification)

Name

Gender M F O PAN Occupation Type Service Business Others

Father's Name

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

Type of address given at KRA (✓) Residential Business Registered Office

Documents required, if PAN not provided (✓) Passport Election ID Card Govt. ID Card Driving License UIDAI Card NREGA Job Card Others

Date of Birth City of Birth

Country of Birth Nationality

Are you a tax resident of any country other than India? (✓) Yes No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country of Tax Residency ¹	Tax Identification Number ¹	Identification Type (TIN or Others, please specify)

¹ To also include USA, where the individual is a citizen / green card holder of The USA
² In case Tax Identification Number is not available, kindly provide its functional equivalent²

Certification

I/We have read and understood the Information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We hereby agree and confirm to Inform Invesco Asset Management Company Private Limited/Invesco Mutual Fund/ Trustees for any modification to this information promptly.

First / Sole Applicant / Guardian

Second Applicant

Third Applicant

Date Place

FATCA & CRS Terms & Conditions

Details under FATCA& CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit 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 anyproceeds 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 Invesco Asset Management or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

³ 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 and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS Indicia
U.S. place of birth	<ul style="list-style-type: none"> Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality" or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/ mailing address in a country other than India	<ul style="list-style-type: none"> Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below)
Telephone number in a country other than India	<p>If no Indian telephone number is provided</p> <ul style="list-style-type: none"> Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below) <p>If Indian telephone number is provided along with a foreign country telephone number</p> <ul style="list-style-type: none"> Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR Documentary evidence (refer list below)
Telephone number in a country other than India	<ul style="list-style-type: none"> Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorized government body*
- Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

ANNEXURE 10

Ultimate Beneficial Owner / FATCA & CRS Annexure Form - For Non Individual Accounts

Name of the Entity

Type of address given at KRA (✓) 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

PAN Date of Incorporation

City of Incorporation

Country of Incorporation

Entity Constitution Type (✓) Partnership Firm HUF Private Limited Company Public Limited Company Society AOP/BOI Trust
 Liquidator Limited Liability Partnership Artificial Juridical Person Others _____

Please (✓) the applicable tax resident declaration -

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 ¹	Identification Type (TIN or Others, please specify)

¹ In case Tax Identification Number is not available, kindly provide its functional equivalent ²

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

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 Institution³ or Direct reporting NFE⁴

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 (✓) as applicable) Applied for Not required to apply for - please specify 2 digits sub-category⁵ (Refer 1 A of Part C)
 Not obtained - Non-participating FI

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

Is the Entity a publicly traded company¹ (that is, a company whose shares are regularly traded on an established securities market) (Refer 2A of Part C) Yes (✓) (If yes, please specify any one stock exchange on which the stock is regularly traded)
 Name of stock exchange

Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2B of Part C) 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
 Nature of relation (✓) : Subsidiary of the Listed Company or Controlled by a Listed Company
 Name of stock exchange

Is the Entity an active NFE (Refer 2C of Part C) Yes (✓) (If yes, please fill UBO declaration in the next section.)
 Nature of Business
 Please specify the sub-category of Active NFE (Mention code - refer 2c of Part D)

Is the Entity a passive NFE (Refer 3(ii) of Part C) Yes (✓) (If yes, please fill UBO declaration in the next section.)
 Nature of Business

³Refer 1 of Part C ⁴Refer 3(vii) of Part C ⁵Refer 1A of Part C

FATCA & CRS Instructions

Category (✓)

- Unlisted Company
 Partnership Firm
 Limited Liability Partnership Company
 Unincorporated association / body of individuals
 Religious Trust
 Private Trust
 Public Charitable 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) (Please attach additional sheets, if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form WB BEN E (Refer 3(vi) of Part C)

Details	UBO 1	UBO 2	UBO 3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax Residency ⁶			
PAN ⁷			
Address	Address, Zip, State, Country	Address, Zip, State, Country	Address, Zip, State, Country
Address Type	Residence/Business/Registered office	Residence/Business/Registered office	Residence/Business/Registered office
Tax ID ²			
Tax ID Type			
City of Birth			
Country of Birth			
Occupation Type	Service/Business/Others	Service/Business/Others	Service/Business/Others
Nationality			
Father's Name			
Gender	Male/Female /Others	Male/Female /Others	Male/Female /Others
Date of Birth			
Percentage of Holding (%)			

² 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 and attach this to the form

⁶ Country of Tax Residency is mandatory for all and if the controlling person is a US citizen or green card holder, please mention U.S.A

⁷ If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position/Designation like Director/Settlor of Trust/Protector of Trust to be specified wherever applicable.

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 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 Invesco Asset Management or our 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.

Certification

I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We hereby agree and confirm to inform Invesco Asset Management (India) Private Limited/Invesco Mutual Fund/ Trustees for any modification to this information promptly.

Name: **TARFE PRIVATE LIMITED COMPANY**

Designation: **For Invesco Asset Management (India) Pvt. Ltd.**

Date: **27/07/2017** Authorised Signatory: **MUMBAI**

PART C (FATCA Instructions & Definitions)

1. 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.

- Depository institution: Is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that holds as a substantial portion of its business, holds 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.
- Investment entity is any entity:
 - 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
 - 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 O3, O4, O5 and O6 - refer point 2c.

- 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:

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

Code	Sub-category
i.	Governmental Entity, International Organization or Central Bank
ii.	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
iii.	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
iv.	Entity is an Indian FI solely because it is an investment entity
v.	Qualified credit card issuer
vi.	Investment Advisors, Investment Managers & Executing Brokers
vii.	Exempt collective investment vehicle
viii.	Trustee of an Indian Trust
ix.	FI with a local client base
x.	Non-registering local banks
xi.	FFI with only Low-Value Accounts
xii.	Sponsored investment entity and controlled foreign corporation
xiii.	Sponsored, Closely Held investment Vehicle
xiv.	Owner Documented FFI

2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

- i. Publicly traded company (listed company)
 - A company is publicly traded if its stock are regularly traded on one or more established securities markets
 - (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)
- ii. Related entity of a publicly traded company
 - The NFE is a related entity of an entity of which is regularly traded on an established securities market;

c. Active NFE : is any one of the following

Code	Sub-category
i.	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;
ii.	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
iii.	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;
iv.	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;
v.	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;
vi.	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;
vii)	Any NFE that fulfills all of the following requirements: <ul style="list-style-type: none"> • 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; • It is exempt from income tax in India; • It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; 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. <p>Explanation:- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> (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
 - 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
 - an investment entity defined in clause (b) of these instructions
 - a withholding foreign partnership or withholding foreign trust;
 (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)
- iii. Passive Income
 - The term passive income includes income by way of :
 - Dividends,
 - Interest
 - Income equivalent to interest.

- 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
- Annuities
- The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- The excess of foreign currency gains over foreign currency losses
- Net income from swaps
- 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 (Maintenance of Records) Rules, 2005. 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.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means '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 of / entitlements to:

- More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- 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.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

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

i. Controlling Person Type:

Code	Sub-category
i.	CP of legal person - ownership
ii.	CP of legal person - other means
iii.	CP of legal person - senior managing official
iv.	CP of legal arrangement - trust - settlor
v.	CP of legal arrangement - trust - trustee
vi.	CP of legal arrangement - trust - protector
vii.	CP of legal arrangement - trust - beneficiary
viii.	CP of legal arrangement - trust - other
ix.	CP of legal arrangement - Other - settlor equivalent
x.	CP of legal arrangement - Other - trustee equivalent
xi.	CP of legal arrangement - Other - protector equivalent
xii.	CP of legal arrangement - Other - beneficiary equivalent
xiii.	CP of legal arrangement - Other - other equivalent
xiv.	Unknown

v. Specified U.S. person - A U.S. person other than the following:

- a corporation the stock of which is regularly traded on one or more established securities markets;
- 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);
- the United States or any wholly owned agency or instrumentality thereof;
- 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;

- 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;
- any bank as defined in section 581 of the U.S. Internal Revenue Code;
- any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- 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);
- any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- 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;
- 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;
- a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- 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. Owner documented FFI

An FFI meets the following requirements:

- The FFI is an FFI solely because it is an investment entity;
- The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- The FFI does not maintain a financial account for any non participating FFI;
- The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

vii. Direct reporting NFFE

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

viii. Exemption code for U.S. persons

Code	Sub-category
i.	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
ii.	The United States or any of its agencies or instrumentalities
iii.	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
iv.	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)
v.	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)
vi.	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
vii.	A real estate investment trust
viii.	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
ix.	A common trust fund as defined in section 584(a)
x.	A bank as defined in section 581
xi.	A broker
xii.	A trust exempt from tax under section 664 or described in section 4947(a)(1)
xiii.	A tax exempt trust under section 403(b) plan or section 457(g) plan

Invesco Asset Management (India) Private Limited

2101-A, A Wing, 21st Floor, Marathon Futurex,
N. M. Joshi Marg, Lower Parel, Mumbai - 400 013.
Telephone +91 22 6731 0000
Fax +91 22 2301 9142

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**Mutual Fund investments are subject to market risks,
read all scheme related documents carefully.**

ANNEXURE K



Depository Section DP ID IN 300095

IL&FS House, Plot No. 14, Raheja Vihar, Chandivili, Andheri (East), Mumbai - 400 072. Phone : 91-022 4249 3000
E-mail : issl-dp@issl.co.in Website : www.ilfsdp.com

APPLICATION FOR OPENING AN ACCOUNT

(For Corporates / Clearing Members only)

Date :	Client - Id (To be filled by Participant)										
--------	--	--	--	--	--	--	--	--	--	--	--

We request you to open a depository account in our name as per the following details :
(Please fill all the details in CAPITAL LETTERS only)

Type of Account

<input checked="" type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Trust
<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> Other (Please specify) _____

Details of Account holder(s)

Name of Corporate (Sole/First Holder)	TARIFE PRIVATE LIMITED Company		PAN	
			Date of incorporation	
Registered Office Address	CORRESPONDENCE ADDRESS PLEASE KEEP IT BLANK			
	State	Country	City	PIN
Correspondence Address (if different)	MARATHON FUTUREX 21ST FLOOR - A WING. SUBHASH ROAD			
	State	Country	City	PIN
	MAHARASHTRA	INDIA	MUMBAI	400053
Mobile No.	9812345678		SMS Alert Facility : Yes <input type="checkbox"/> No <input type="checkbox"/>	
E-mail ID	xx xx@GMAIL.COM			

Other Holder Details

Second Holder Name			PAN	
			Date of incorporation	
Address				
	State	Country	City	PIN
Mobile No.			SMS Alert Facility : Yes <input type="checkbox"/> No <input type="checkbox"/>	
E-mail ID				

Other Holder Details

Third Holder Name			PAN	
			Date of incorporation	
Address				
	State	Country	City	PIN
Mobile No.			SMS Alert Facility : Yes <input type="checkbox"/> No <input type="checkbox"/>	
E-mail ID				

For HUF, Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the karta, partner(s), trustee(es) etc., the name & PAN of the HUF, Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:

a) Name		b) PAN																	
---------	--	--------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

In Case of FIIs / Others (as may be applicable)

Foreign Address																		
																City		
	State					Country					PIN							
RBI Approval Reference No.																		
RBI Approval Date																		
SEBI Registration No. (for FIIs)																		

Address for Communication/Corporate Benefits (Default option is Registered office Address)	<input type="checkbox"/> Registered/Permanent Address
	<input type="checkbox"/> Correspondence Address/Foreign Address

Bank Details

Bank Account-type	<input type="checkbox"/> Savings Account	<input checked="" type="checkbox"/> Current Account	<input type="checkbox"/> Others (Please specify) _____															
Bank Account No.	00600340082872																	
Bank Name	HDFC BANK LTD																	
Branch Address	MANEKJI WADIA BUILDING, GROUND FLOOR																	
	NANIK MOTIWANI MARG, FORT															City	MUMBAI	
	State	MAHARASHTRA				Country	INDIA				PIN	4	0	0	0	1	5	
MICR Code	4	0	0	2	4	0	0	1	5									
IFSC	H	D	F	C	0	0	0	0	0	0	6	0						

Clearing Member Details (to be filled up by Clearing Members only)

Name of Stock Exchange	
Name of Clearing Corporation / Clearing House	
Clearing Member Id	
SEBI Registration No.	
Trade Name	
CM-BP-Id (to be filled up by Participant)	

Standing Instructions

We authorise you to receive credits automatically into our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Mode of receiving Statement of Account [Tick any one]	<input type="checkbox"/> Physical Form
	<input type="checkbox"/> Electronic Form [Refer to the instructions in the foot note and ensure that email id is provided in KYC Application form]

For receiving Statement of Account in electronic form:

- I. Client must ensure the confidentiality of the password of the email account.
- II. Client must promptly inform the Participant if the email address has changed.
- III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.

	Sole/First Holder	Second Holder	Third Holder
Income details (Please specify) Income Range p.a.	<input type="checkbox"/> Below ₹ 20 Lac	<input type="checkbox"/> Below ₹ 20 Lac	<input type="checkbox"/> Below ₹ 20 Lac
	<input type="checkbox"/> ₹ 20 – 50 Lac	<input type="checkbox"/> ₹ 20 – 50 Lac	<input type="checkbox"/> ₹ 20 – 50 Lac
	<input type="checkbox"/> ₹ 50 Lac – 1 crore	<input type="checkbox"/> ₹ 50 Lac – 1 crore	<input type="checkbox"/> ₹ 50 Lac – 1 crore
	<input checked="" type="checkbox"/> Above ₹ 1 crore	<input type="checkbox"/> Above ₹ 1 crore	<input type="checkbox"/> Above ₹ 1 crore
AND			
Net worth (Net worth should not be older than 1 year)	Amount (₹)	Amount (₹)	Amount (₹)
	As on date	As on date	As on date
	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
Nature of Business			

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:	<input type="checkbox"/> Politically Exposed Person (PEP)
	<input type="checkbox"/> Related to a Politically Exposed Person (RPEP)

DECLARATIONS

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware that we may be held liable for it. In case of non-resident account, We also declare that We have complied and will continue to comply with FEMA regulations.

We hereby confirm that we will act on our own behalf and will continue to act on our own behalf unless otherwise communicated in writing.


I/we acknowledge the receipt of copy of the documents, "Rights and Obligations of the Beneficial Owner and Depository Participant".

DECLARATIONS RE : PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (hereinafter referred to as "Act") came into effect from July 1, 2005 vide Notification No. GSR 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Government of India. Further, SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all intermediaries should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Customer (KYC) policy. The intermediaries may, according to their requirements specify additional disclosures to be made by clients for the purposes of identifying, monitoring and reporting incidents of money laundering and suspicious transactions undertaken by clients. SEBI also issued another circular reference no. ISD/CIR/RR/AML/2/06 dated March 20, 2006 advising all intermediaries to take necessary steps to ensure compliance with the requirement of section 12 of the Act, inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi. The investor(s) should ensure that the amount invested in the securities and represented as credit in their demat account is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act, Prevention of Corruption Act and/or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the customer(s) under its KYC policy and with a view to monitor transactions, ISSLDP reserves the right to seek information, record customer's telephonic calls and/or obtain and retain documentation for establishing the identity of the customer, proof of residence, source of funds, etc. It may re-verify identity, seek and obtain any incomplete or additional information for this purpose.

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories)

Sole/First Holder	Name	Signature(s)
First Signatory	TARJE PRIVATE LIMITED COMPANY	For Invesco Asset Management (India) Pvt. Ltd.  Authorised Signatory
Second Signatory		
Third Signatory		

Other Holders	Name	Signature(s)
Second Holder		
Third Holder		

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign)	
<input type="checkbox"/> Any one singly	
<input type="checkbox"/> Jointly by	
<input checked="" type="checkbox"/> As per resolution	
<input type="checkbox"/> Others (please specify)	

Notes :

1. In case of additional signatures, separate annexures should be attached to the application form.
2. Thumb impressions and signatures other than English or Hindi or any of the other languages not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Strike off whichever is not applicable.

In case you trade regularly, it will be in your interest to take the transaction statement by e-mail. Hence kindly furnish your e-mail ID. Please mention the frequency for transactions by email.

Daily Weekly Fortnightly

For Office use:

Branch Inward Stamp
Inward Date:
Verified by:

HO Inward Stamp
Inward Date:
Verified by:

	Date	Name	Signature
Entered By			
Released By			

Payment Details:

Bank Details	Amount (Rs.)	Cheque No.	Cheque Date

Break-up of payment : 1. Maintenance _____
 2. Stamp charges _____
 Total _____

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*".
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

For Invesco Asset Management (India) Pvt. Ltd.

x

Sole / First Holder

x

Second Holder

x

Third Holder

Authorised Signatory

Acknowledgement



IL&FS House, Plot No. 14, Raheja Vihar, Chandivili, Andheri (East), Mumbai - 400 072. Phone : 91-022 4249 3000
E-mail : issl-dp@issl.co.in Website : www.ilfsdp.com

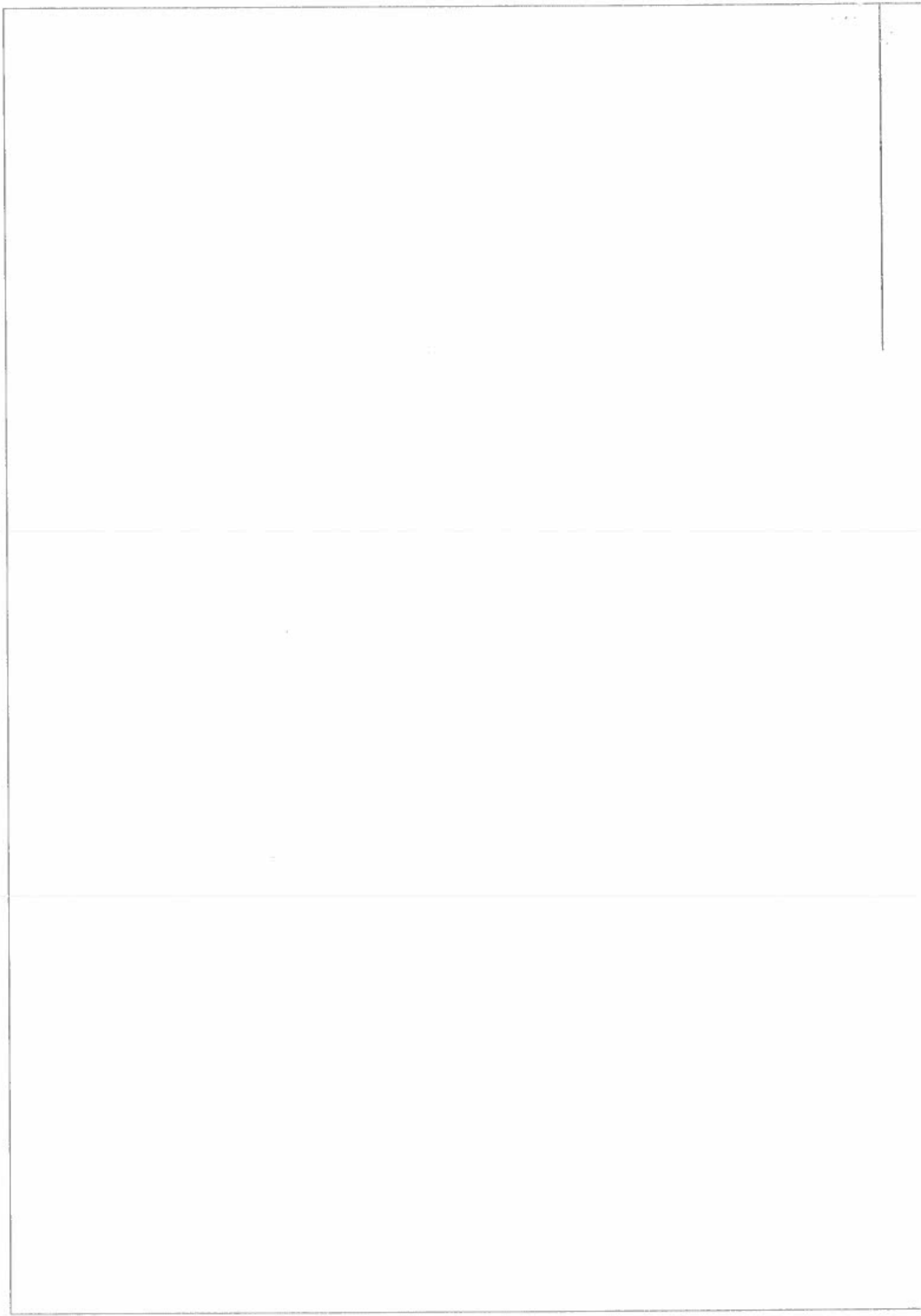
DP ID - IN 300095

Received the application from M/s _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

Date:

--	--	--	--	--	--	--	--	--	--

Participant Stamp & Signature



Identification Type & Identification Number (tick as applicable)

Company identification Number
 Trust registration Number

TIN/Tax deduction Account Number (TAN)
 Global Entity Identification Number (EIN)

US GIIN
 Other

Identification issuing Country for identification number provided above : _____

Declaration of Tax Residency
Please indicate the Entity's place of tax residence (if resident in more than one country please detail all countries and associated tax identification number (TIN) and TIN issuing country).

Country/countries of tax residency	Tax Identification number (TIN)/ Functional Equivalent number	TIN/ functional Equivalent Issuing Country	Document type attached (tax residence certificate or TIN card or others)	Date upto which the documentary evidence is valid

(Documentary evidence to be provided for foreign country of tax residence and TIN) - If tax resident of Country outside India, kindly provide confirmation as under:

If US tax resident, kindly confirm whether the Entity is a US Specified Person. **Yes No**
[If No, Kindly indicate exclusion number from Annexure 1]

If tax resident of country other than USA, kindly tick if any of the following is applicable:
 a corporation, the stock of which is regularly traded on one or more established securities markets;
 any corporation that is a related entity of a corporation mentioned in item
 a Governmental entity; an International organisation; a Central bank; or a financial institution

A. Financial Institution	
1. Reporting Financial Institution Yes No	If Yes, please tick atleast one of the below categories, and provide your FATCA Global Intermediary Identification Number (GIIN): Depository Institution Custodial Institution Investment Entity Specified Insurance Company GIIN _____
2. Non Reporting Financial Institution	If yes, please provide category from Annexure 2

Yes No	
3. Sponsored Investment Entity and has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide the Sponsoring Entity's name and GIIN. Sponsoring Entity's Name: _____ Sponsoring Entity's GIIN: _____	
4. Trustee Documented Trust and has not yet obtained a GIIN. Please provide the Trustee's name and the GIIN Name of the Trustee of the Trust: _____ GIIN of the Trustee: _____	
5. Owner documented Financial Institution Yes No [If Yes, each controlling person should fill details as per Annexure A]	6. Non-Participating Foreign Financial Institution Yes No

B. Non - Financial Entity [NFE]	
Active NFE Yes No	If yes, provide category _____ [refer Annexure 3] If category is Sr. No. ii, please provide the following details, as applicable: a) Provide name of the Stock Exchange on which listed _____ (b) If related entity of listed company, please provide (i) Name of the company _____ (ii) Stock Exchange on which listed _____
Passive NFE Yes No Direct reporting NFE - Yes/ No	If yes, provide category _____ [refer Annexure 4] (Each Controlling Person of the Passive NFE should fill Controlling Person Form - Annexure A) If Yes, provide GIIN _____

DETAILS OF RELATED PERSON [In case of addition/deletion of related persons please provide the following information]

Related Person Type
 KYC Number of related person (if available)----- (If KYC number is available only Related person type and Name is mandatory)

- Director Promoter Karta Trustee Partner Authorised Signatory
 Court Appointed Official Beneficiary

Name	Maiden Name [if any]	Father's / Spouse's Name	Mother's Name
_____	_____	_____	_____

Date of Birth _ / _ / _	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	Marital Status <input type="checkbox"/> Married <input type="checkbox"/> Unmarried	Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others _____ (Please specify the country)
----------------------------	---	---	---

Residential Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin	<input type="checkbox"/> Service [pls specify] <input type="checkbox"/> - Private Sector <input type="checkbox"/> - Public Sector <input type="checkbox"/> - Govt. Sector <input type="checkbox"/> Business <input type="checkbox"/> Others [pls specify] <input type="checkbox"/> - Professional <input type="checkbox"/> - Self Employed <input type="checkbox"/> - Retired <input type="checkbox"/> - Housewife <input type="checkbox"/> - Student <input type="checkbox"/> Not Categorized
---	---

Document submitted as proof of identity of the related person : [please specify] _____

Proof of Address (POA) (Certified copy of any one of the following Proof of address needs to be submitted)

Current/Permanent/Overseas Address Details:
 Address Type : Residential Or Business Residential Business Registered

Proof of Address:
 Passport Number - Passport Expiry Date ___/___/___ [dd/mm/yyyy]
 Driving License - Driving License Expiry date ___/___/___ [dd/mm/yyyy]
 UID (Aadhaar) Voter ID card NREGA Job Card
 Others (any document notified by Central government) - Identification Number _____

Address: _____
 City/Town/Village: _____ State: _____
 Pin/Post Code: _____ Country: _____

RESIDENCE FOR TAX PURPOSE IN JURISDICTION OUTSIDE INDIA

Country of Residence	Tax Identification Number or equivalent [if issued in jurisdiction]	Place / City of Birth	County of Birth

ANNEXURE A						
Number of Controlling persons:						
Details of each controlling person(s), confirming all countries of tax residency/permanent residency / citizenship and all tax identification numbers for each controlling persons [please attach additional sheets if necessary]:						
	Controlling Person 1	Controlling Person 2	Controlling Person 3	Controlling Person 4	Controlling Person 5	Controlling Person 6
Name						
Maiden Name [if any]						
Father's Name						
Spouse's Name [optional]						
Mother's Name:						
PAN						
Aadhar Number [optional]						
Marital Status [Married/Unmarried/ Others]						
Telephone / Mobile no.						
Nationality (Indian, Others)						
Gender [Male, Female, Other]						
Date of Birth						
Place / City of Birth						
Country of Birth						
Residential Status (Resident Individual; Non Resident Indian; Foreign National; Person of Indian Origin)						
Address [include City State, Country & Pincode]						
Address Type [Residential Or Business/Residential/ Business/Registered Office/Unspecified]						
PAN/Tax Identification number [or functional equivalent] for each country identified in relation to each person						
Identification Type [TIN or Other, please specify the name of document for above]						

% of beneficial interest / ownership / capital / profits						
Controlling Person Type code [Refer Annexure 5]						
Occupation Type [please specify] A. Service i. Private Sector ii. Public Sector iii. Govt. Sector B. Business C. Others i. Professional ii. Self Employed iii. Retired iv. Housewife v. Student D. Not Categorized						
ADDITIONAL DETAILS TO BE FILLED BELOW ONLY BY CONTROLLING PERSONS HAVING TAX RESIDENCY / PERMANENT RESIDENCY/ CITIZENSHIP IN ANY COUNTRY OTHER THAN INDIA INCLUDING GREEN CARD HOLDERS						
Country of Tax Residency						
Tax Identification Number						
TIN/Functional Equivalent Issuing Country						
Documentary evidence enclosed for country of tax residence or TIN or others						
Date upto which the documentary evidence is valid						

Declaration and Undertakings

I / We certify that:

- the information provided in the Form is in accordance with Section 285BA of the Income- tax Act, 1961 read with Rules 114F to 114H of the Income-tax Rules, 1962.
- the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self-certification alongwith documentary evidence.
- I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GoI) /Reserve Bank of India for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.

- f) I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
- g) It shall be my / our responsibilities to educate myself / ourselves and to comply at all times with all relevant laws relating to reporting under Section 285BA of the Act read with the Rules thereunder.
- h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information

For Invesco Asset Management (India) Pvt. Ltd.



 Authorised Signatory

Signature of the authorised signatories
 [under rubber stamp]

Name: _____

Position/Title: _____

Date

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Place : _____

Instructions:

All the information mentioned above have to be mandatorily provided

Information on the terms used in the Annexure to the Account opening form:

Terms in the Annexure:

- Reporting financial institution means a custodial institution, a depository institution, an investment entity, or a specified insurance company which is registered with US IRS and obtained a Global Intermediary Identification Number (GIIN).
- “custodial institution” means any entity that holds, as a substantial portion of its business, financial assets for the account of others
- “depository institution” means any entity that accepts deposits in the ordinary course of a banking or similar business;
- “investment entity” means any entity,-
 (A) that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer, namely:-
 (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) otherwise investing, administering, or managing financial assets 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 financial institution.
- “specified insurance company” means any 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;
- Owner Documented Financial institution: It is an Financial Institution which does not report to the US IRS. Owner documented FI are generally small investment entities.
- Direct Reporting Non-financial Entity – It is a Passive NFE but will not share the details of the controlling persons with the financial institution it maintains accounts with but will report directly to US IRS and so its GIIN should be taken

- Controlling persons means natural persons who exercise control over an entity who includes a beneficial owner as defined in Explanation to sub-rule (3) of rule 9 Prevention of Money-laundering (Maintenance of Records) Rules, 2005. In determining the beneficial owner the procedure specified in the RBI/SEBI/IRDA circulars shall be applied. In the case of Trust, the controlling persons mean the settlor, the trustees, the protector, the beneficiaries or class of beneficiaries and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent position.

Annexure 1: Exclusions from being treated as Specified US Persons

Sr. No.	Type of entity
1	a corporation the stock of which is regularly traded on one or more established securities markets;
2	a member of the same expanded affiliated group of the listed company,
3	the United States or any wholly owned agency or instrumentality thereof
4	US State or Territory, any political subdivision, or any wholly owned agency or instrumentality
5	501(a) Entity or 7701(a)(37) individual retirement plan
6	bank as defined in section 581 of the U.S. Internal Revenue Code;
7	real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code
8	regulated investment company or entity under the Investment Company Act of 1940
9	any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
10	any tax exempt trust
11	a registered dealer in securities, commodities, or derivative financial instruments
12	a broker as defined in section 6045(c) of the U.S. Internal Revenue Code;
13	any tax-exempt trust under a plan that is described in section 403(b) or section 457(g)

Annexure 2: "Non-reporting financial institution"

Sr.No	Category
1	a Governmental entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by reporting financial institution
2	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;
3	a non-public fund of the armed forces, Employees' State Insurance Fund, a gratuity fund or a provident fund;
4	An Indian investment entity held only by (1) to (3) above
5	a qualified credit card issuer;
6	Specified Investment advisor or investment manager or executing broker
7	Specified exempt collective investment vehicle
8	a financial institution with a local client base
9	a local bank*
10	a financial institution with only low-value accounts
11	sponsored investment entity and controlled foreign corporation
12	Trustee documented trust
13	sponsored closely held investment vehicle, in case of any U.S. reportable account

*Regional Rural Banks constituted under the Regional Rural Bank Act 1976 (21 of 1976), Urban Cooperative Banks constituted under respective State Cooperative Societies Acts or Multi State Cooperative Societies Act, State Cooperative Banks or District Central Cooperative Banks constituted under respective State Cooperative Societies Act and Local Area Banks licensed under the Banking Regulations Act, 1949 (10 of 1949) and regulated and registered as public limited companies under the Companies Act, 1956 (1 of 1956) or Companies Act, 2013 (18 of 2013), that satisfy the requirement under sub-clause (iv) shall be treated as local bank for the purpose of this clause.

Annexure 3: Active Non-Financial Entity (NFE)

Sr no.	Category of Active NFFE
(i)	Less than 50 per cent of the entity's gross income for the preceding <i>financial year</i> is passive income and less than 50 per cent of the assets held by the entity during the preceding financial year are assets that produce or are held for the production of passive income; or
(ii)	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; or <i>Explanation.-</i> For the purpose of this sub-clause, an established securities market means an exchange that is officially recognised and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange.
(iii)	the entity is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
(iv)	substantially all of the activities of the entity 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 does not qualify for this status if it functions (or holds itself out) 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;
(v)	the entity 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 entity does not qualify for this exception after the date that is 24 months after the date of the initial organization of the entity;
(vi)	the entity 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;
(vii)	the entity 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;
(viii)	the entity meets all of the following requirements, namely:- (a) 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, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; (b) It is exempt from income-tax in India; (c) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; (d) The applicable laws of the entity's jurisdiction of residence or the entity's formation documents do not permit any income or assets of the entity 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 entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and (e) The applicable laws of the entity's jurisdiction of residence or the entity's formation documents require that, upon the entity'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 entity's jurisdiction of residence or any political subdivision thereof. <i>Explanation.-</i> 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

Annexure 4 - Passive Non-Financial Entity (NFE)

Sr no.	Category of Passive NFFE
1	Any non-financial entity which is not an active non-financial entity
2	An investment entity described in sub-clause (B) of clause (c) of the Explanation to clause (3)
3	A withholding foreign partnership or withholding foreign trust

Annexure 5 - Controlling Person Type

Sr no.	Sub category
1	CP of legal person – ownership
2	CP of legal person – other means
3	CP of legal person – senior managing official
4	CP of legal arrangement – trust – settlor
5	CP of legal arrangement – trust – trustee
6	CP of legal arrangement – trust – protector
7	CP of legal arrangement – trust – beneficiary
8	CP of legal arrangement – trust – other
9	CP of legal arrangement – trust – other – settlor equivalent
10	CP of legal arrangement – trust – other – trustee equivalent
11	CP of legal arrangement – trust – other – protector equivalent
12	CP of legal arrangement – trust – other – beneficiary equivalent
13	CP of legal arrangement – trust – other – other equivalent
14	Unknown

Annexure 6: Business codes as per income-tax return form ITR 6

Sr. No.	Sector	Sub-sector	Code
1	Manufacturing Industry	Agro-based industries	0101
		Automobile and Auto parts	0102
		Cement	0103
		Diamond cutting	0104
		Drugs and Pharmaceuticals	0105
		Electronics including Computer Hardware	0106
		Engineering goods	0107
		Fertilizers, Chemicals, Paints	0108
		Flour & Rice Mills	0109
		Food Processing units	0110
		Marble & Granite	0111
		Paper	0112
		Petroleum and Petrochemicals	0113
		Power and energy	0114
		Printing & Publishing	0115
		Rubber	0116
		Steel	0117
		Sugar	0118
		Tea, Coffee	0119
		Textiles, handloom, Power looms	0120
		Tobacco	0121
		Tyre	0122
		Vanaspati & Edible Oils	0123
		Others	0124
2	Trading	Chain Stores	0201

		Retailers	0202
		Wholesalers	0203
		Others	0204
3	Commission Agents	General Commission Agents	0301
4	Builders	Builders	0401
		Estate Agents	0402
		Property Developers	0403
		Others	0404
5	Contractors	Civil Contractors	0501
		Excise Contractors	0502
		Forest Contractors	0503
		Mining Contractors	0504
		Others	0505
6	Professionals	Chartered Accountants, Companies Secretaries, etc	0601
		Fashion designers	0602
		Legal professionals	0603
		Medical professionals	0604
		Nursing Homes	0605
		Specialty hospitals	0606
		Others	0607
7	Service Sector	Advertisement agencies	0701
		Beauty Parlours	0702
		Consultancy services	0703
		Courier Agencies	0704
		Computer training/educational and coaching institutes	0705
		Forex Dealers	0706
		Hospitality services	0707
		Hotels	0708
		I.T. enabled services, BPO service providers	0709
		Security agencies	0710
		Software development agencies	0711
		Transporters	0712
		Travel agents, tour operators	0713
		Others	0714
8	Financial Service Sector	Banking Companies	0801
		Chit Funds	0802
		Financial Institutions	0803
		Financial service providers	0804
		Leasing Companies	0805
		Money Lenders	0806
		Non-Banking Finance Companies	0807
		Share Brokers, Sub-brokers, etc.	0808
		Others	0809
9	Entertainment Industry	Cable T.V. productions	0901
		Film distribution	0902
		Film laboratories	0903
		Motion Picture Producers	0904
		Television Channels	0905
		Others	0906

