

APPLICATION FORM NO.

Edelweiss Asset Management Limited (IFSC Branch)

Edelweiss Greater China Equity Fund

(Non-Individual)

A Restricted Scheme (Non-Retail Scheme)
managed by Edelweiss Asset Management Limited (IFSC Branch)

Investor's Name	
Name of Distributor	
ARN Number	
Distributor - Relationship Manager Name	
Distributor - Relationship Manager Email ID	
Distributor - Service Manager Name	
Distributor - Service Manager Email ID	
Edelweiss - Relationship Manager	
Edelweiss - Service Manager	
Edelweiss - Zone	

Edelweiss Asset Management Limited (IFSC Branch)

Branch Address: Unit No. 503, Pragya 2 Building, GIFT SEZ, GIFT City, Gandhinagar - 382355, Gujarat, India

Corporate Address: Edelweiss House, 10th Floor, off CST Road, Kalina, Mumbai - 400098, Maharashtra, India

Email: eaml.giftcity@edelweissmf.com

CHECKLIST FOR NON-INDIVIDUALS

Sr. No.	Description	Check Box
1.	Application Form completed and duly signed. Authorized signatories to sign on all relevant sections and pages.	<input type="checkbox"/>
2.	Cancelled Cheque Leaf for registered bank mandate provided (should be personalized and bearing the name of the investor)	<input type="checkbox"/>
3.	Copy of Audited Balance sheet for last 2 years	<input type="checkbox"/>
4.	Copy of Certificate of Incorporation	<input type="checkbox"/>
5.	Copy of MOA and AOA	<input type="checkbox"/>
6.	Attach KYC Additional Information / UBO.	<input type="checkbox"/>
7.	FATCA & CRS Declaration (Please note that this needs to be provided by the investor every year)	<input type="checkbox"/>
8.	Authorised Signatory List with Name and Signatures.	<input type="checkbox"/>
9.	Proof of Identity & Proof of Address of all authorised signatories.	<input type="checkbox"/>
10.	List of Directors.	<input type="checkbox"/>
11.	Proof of Identity & Proof of Address of all Directors.	<input type="checkbox"/>
12.	Board Resolution	<input type="checkbox"/>
13.	Share Holding Pattern	<input type="checkbox"/>
14.	CERSAI Form (If CKYC not done & KIN is not available)	<input type="checkbox"/>
15.	Self-Attested True copies of all additional documents to be submitted.	<input type="checkbox"/>

Bank Account details for - (SWIFT Fund Transfer)

Nature of information	
Account Name	Edelweiss Greater China Equity Fund
Account Number	8052153682
Bank Name	KOTAK MAHINDRA BANK LTD
Bank Swift Code	KKBKINB2XXX
IFSC Code	GIFTOKKBK01
Bank Address	IFSC Banking Unit, Kotak Mahindra Bank Ltd, 10th Floor, Hiranandani Signature, Block No. 13, Zone – 1, GIFT SEZ, GIFT City, Gandhinagar – 382355, Gujarat, India.
Correspondent Bank	Citi Bank, New York.
Correspondent Bank SWIFT CODE	CITIUS33XXX
Correspondent Bank A/c No	36433828
Remittance Purpose	For Subscribing Units of Edelweiss Greater China Equity Fund



Edelweiss Greater China Equity Fund

(APPLICATION FORM FOR NON-INDIVIDUALS)

I GENERAL INFORMATION (Please ✓)																																		
<input type="checkbox"/> Partnership/ LLP		<input type="checkbox"/> Company		<input type="checkbox"/> Society/Club		<input type="checkbox"/> Trust																												
<input type="checkbox"/> Institutional Investors:		<input type="checkbox"/> Bank		<input type="checkbox"/> Insurance Companies		<input type="checkbox"/> Pension Fund		<input type="checkbox"/> Provident Fund																										
<input type="checkbox"/> Others (Please specify) _____																																		
Name of the Entity _____																																		
Date of Registration / Incorporation <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> PAN <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>										D	D	M	M	Y	Y	Y	Y																	
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II INVESTMENT DETAILS																																		
Scheme Name		Edelweiss Greater China Equity Fund				Plan : <input type="checkbox"/> Regular <input type="checkbox"/> Direct																												
Placement Fee		% (to be deducted from the Gross Subscription Amount, only allowed under Regular Plan)																																
Type of Plan		First Purchase Minimum Investment (USD)				Additional Purchase Minimum Investment (USD)																												
Direct Plan		5000				500																												
Regular Plan		5000				500																												
III SUBSCRIPTION AMOUNT																																		
Amount (USD)		(In figures) <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																																
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Bank Account No.		<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																																
Name of the Bank &		<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																																
Branch, City, Country		<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																																
Subject to Realization of amount. SWIFT copy / fund transfer details / proof should be shared. All amounts to be sent gross of Bank charges and/or any other deductions. Any subscription amount received lesser than the Initial Subscription Amount shall be considered as an incomplete application.																																		
IV KYC DETAILS (Mandatory)																																		
a. Status of Applicant (Please ✓)																																		
<input type="checkbox"/> Partnership Firm Limited <input type="checkbox"/> Partnership (LLP)																																		
<input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Private Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Bank <input type="checkbox"/> FIs <input type="checkbox"/> Insurance Companies <input type="checkbox"/> Government Body <input type="checkbox"/> AOP/BOI																																		
<input type="checkbox"/> Mutual Fund <input type="checkbox"/> FII <input type="checkbox"/> FPI-Category I/II <input type="checkbox"/> Others																																		
b. Net worth in USD _____ as on <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>					D	D	M	M	Y	Y	Y	Y	(not older than 1 year)																					
D	D	M	M	Y	Y	Y	Y																											



V

BANK ACCOUNT DETAILS: Attach copy of cheque leaf / Bank Statement (not older than 3 months & attested by the bank) All Payments by the Scheme will be made directly to this account.

Account Number/IBAN Account Type:
 Name of Bank / Branch
 City State
 Postal Code Country
 SWIFT Code IFSC Code

VII

DECLARATIONS AND SIGNATURE(S)

I/We hereby declare that all the information and particulars given by me/us in this Application Form and other details and documents submitted 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 and/or any other details and documents provided post Application Form. I/We 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 there from, the FME, inter alia, has the right to ask me/us to withdraw from the Scheme or transfer the units held by me/us to a transferee as may be designated by it and/or take necessary steps for breach of representation and warranties. I/We also agree to furnish such further information as you or IFSCA or any other regulatory authority may require from me/us from time to time in relation to the holdings of Units of the Scheme and I/we agree that if I/we fail to give such information, you shall have the right to and/or return funds and not allot Units and report the same to the applicable Regulators. I/We also understand that there is no assurance on the returns of the Scheme.

I/We hereby agree and accept that Fund Management Entity (FME), their authorised agents, representatives, distributors its settlor, trustees, their employees, service providers, representatives ('the Authorised Parties') are not liable or responsible for any losses, costs, damages arising out of any actions undertaken or as a result of this investment or activities performed by them on the basis of the information provided by me as also due to my not intimating / delay in intimating such changes. I authorize the FME to disclose, share, remit in any form, mode or manner, all / any of the information provided by me to authorised parties including any of the Indian or foreign governmental or statutory or judicial authorities / agencies including Financial Intelligence unit India (FIU-IND) without any obligation of advising me/us of the same.

I/We understand that if I/we are categorized as high risk investors as per the policies / procedures adopted by the FME, additional documents / declarations may be sought, which I/We shall promptly provide, in absence of which my/our application may be kept on hold.

I/We hereby declare and confirm that the investment as detailed in the accompanying application form complies with the provisions of the Foreign Exchange Management Act, 1999 (FEMA), and the relevant rules, regulations, directions, and guidelines issued thereunder by the Reserve Bank of India (RBI) and the Government of India, including but not limited to the Foreign Exchange Management (Overseas Investment) Rules, 2022, and the Foreign Exchange Management (Overseas Investment) Regulations, 2022, as may be amended from time to time. I/We hereby confirm that the Ultimate Beneficial Owner (UBO) has been identified and declared in accordance with all applicable laws and regulations, and I further acknowledge that it is my sole responsibility to ensure the accuracy and completeness of this disclosure. I/We hereby declare and confirm that the source of funds for the proposed investment is through permissible means under FEMA and does not involve any contravention of the provisions of the FEMA Act. I/We shall ensure ongoing compliance with the reporting and disclosure requirements as prescribed by the RBI for such overseas investments. I/We undertake to abide by all applicable provisions of FEMA and to obtain all necessary approvals, wherever applicable, and to report to the RBI/Authorized Dealer as required. I/We hereby declare and confirm that all required filings, including but not limited to Form FC, Form ODI, and Annual Performance Reports (APR), as applicable, will be made in accordance with the prescribed timelines. I/We hereby declare and confirm that the proposed investment is within the overall limit as prescribed by the RBI from time to time.

I/We hereby accord my/our consent to the FME/Scheme for collecting, receiving, possessing, storing, dealing, handling or disclosure of personal data of directors and authorized signatories and hereby authorize to disclose it to the third party or another body corporate or any person acting under a lawful contract with the FME. I/We hereby grant my/our consent to the FME and its associates to send all the communications/reports on all the email addresses specified in the form.

The FME reserves the right to inform the existing Distributor/Referral Agent of any request received from the investors which can directly or indirectly impact the Distributors/Referral Agent.

I/We hereby accord my/our consent to Edelweiss Asset Management Limited (IFSC Branch) for receiving the promotional information/ material via email, SMS, telemarketing calls etc. on the mobile number and email provided by me/us in this Application Form. I/We have read, understood & agree to the terms and conditions mentioned in the Offer Documents of the Edelweiss Greater China Equity Fund as well as the rules and regulations of the IFSCA, Prevention of Money Laundering Act and such other regulations as may be applicable to me/us from time to time and agree to comply with the same as a Unitholder and would like to invest in the Scheme. Further, I/We will be bound by the Scheme's terms and conditions as amended from time to time. I/We also confirm that the information provided herein is true, correct, and complete to the best of my/our knowledge and belief.

I/We have read the terms and conditions for investment in the Fund and hereby acknowledge the receipt of the Offer Document of Edelweiss Greater China Equity Fund dated:

Authorised Signatory / Signatories

Signature with seal	Signature with seal	Signature with seal
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Place: _____ Date: D D M M Y Y Y Y



E. DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP (UBO) (Applicable to all Non-Individual entities including Passive NFE)
PART I - Please attach an organization chart showing the ownership structure and control of the Entity.

Note: The chart must show:

- i. The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
 - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - 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.
- ii. In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- iii. If there is no natural person holding more than 10%, then details of Senior Management Official (SMO) must be mentioned.

PART II - Please provide the details of Individuals who are ultimate beneficial owners of the Entity through ownership and / or control:

	UBO – 1 / SMO	UBO 2	UBO 3
Name of the UBO/SMO			
Father's Name			
Gender			
Date of Birth			
Place & Country of Birth			
Nationality			
Occupation			
Country of Tax Residency			
Percentage of Ownership (%)			
Tax Payer Identification No.			
Tax Payer Identity document type			

Passport / Driving license / Any other document issued by the Government

INSTRUCTIONS FOR FILLING THE FORM AND DOCUMENTATION

1. Form should be filled in English.
2. In case of person residing in India, supporting documents shall be as specified in the Investor Application Form.
3. Please ensure that all the supporting documents are self-attested by the Investor and In-person verification (IPV) stamp with Employee Name, Designation, Name of the Organization, Employee Code, Signature, Date & company stamp. Original seen & verified ("OSV") stamp is also required on all documents.
4. Form submitted without proper documents or improperly attested documents is liable to be rejected.
5. Form should be filled in legible writing, any cancellation/corrections should be counter signed by the Investor(s).
6. SWIFT transfer for investment amount to be in favor of the scheme account.
7. Please provide a cancelled personalized cheque or Bank statement (not older than 3 months and attested by bank) to facilitate electronic transfers at the time of redemption.
8. The name(s) of the Investor/ Signatories must be the same as mentioned in the Proof of Identification provided.
9. Please provide Mobile Number and Email Ids for effective communication.



Edelweiss Greater China Equity Fund

FATCA-CRS Declaration & Supplementary KYC Information



Name of the entity			
Type of address given at KRA	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business
PAN			Date of Incorporation
City of incorporation			
Country of incorporation			

ADDITIONAL KYC INFORMATION

Gross Annual Income (USD) Please tick (✓)	<input type="checkbox"/> Upto 150,000	<input type="checkbox"/> 150,000-250,000	<input type="checkbox"/> 250,000-350,000	<input type="checkbox"/> 350,000-450,000	
	<input type="checkbox"/> 450,000-550,000	<input type="checkbox"/> >550,000			
Net-worth	USD	<input type="checkbox"/>	as on	D D M M Y Y Y Y	(Not older than 1 year)
Politically Exposed Person (PEP) Status* (Also applicable for authorised signatories/Promoters/ Karta/ Trustee/ Whole time Directors)	<input type="checkbox"/> I am PEP <input type="checkbox"/> I am Related to PEP <input type="checkbox"/> Not Applicable				
*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.					
Non-Individual Investors involved/ providing any of the mentioned services	<input type="checkbox"/> Foreign Exchange/Money Changer Services <input type="checkbox"/> Gaming/Gambling/Lottery/Casino Services <input type="checkbox"/> Money Lending/Pawning <input type="checkbox"/> None of the above				

FATCA & CRS Declaration

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number %	Identification Type (TIN or Other*, please specify)
1.			
2.			
3.			

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

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

In case the Entity's Country of Incorporation/Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

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

1. We are a <input type="checkbox"/> Financial institution (Refer 1 of Part C) or <input type="checkbox"/> Direct reporting NFE (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN: <input type="text"/> 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: <input type="text"/> <input type="text"/>
GIIN not available (please tick as applicable):	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> <input type="text"/> (Refer 1 A of Part C)

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

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	<input type="checkbox"/> Yes (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange <input type="text"/>
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	<input type="checkbox"/> Yes (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <input type="text"/> Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange <input type="text"/>
3. Is the Entity an active NFE (Refer 2c of Part C)	<input type="checkbox"/> Yes Nature of Business <input type="text"/> Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> (Refer 1 A of Part C)
4. Is the Entity a passive NFE (Refer 3(ii) of Part C)	<input type="checkbox"/> Yes Nature of Business <input type="text"/>



Declaration:

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you [RTA/Administrator/Fund/FME/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the alternative investment fund, its sponsor, asset management company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other IFSCA Registered Intermediaries /or any regulated intermediaries registered with IFSCA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Scheme's end or by domestic or overseas regulators/ tax authorities. I/We authorize Scheme/FME/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. We also confirm that we have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same.

Signature with relevant seal:

Signature with seal	Signature with seal	Signature with seal
---------------------	---------------------	---------------------

 Place: _____ Date:
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 such as the Banks/other financial entities to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

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

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Please note that you may receive more than one request for information if you have multiple relationships with MFs or its group entities / related parties. Therefore, it is important that you respond to such request, even if you believe you have already supplied any previously requested information.



INSTRUCTIONS FOR FATCA & CRS DECLARATION

- a. Financial Institution / Foreign Financial Institution [FFI] – Means any non-US financial institutions that is a – (1) Depository institution – accepts deposits in the ordinary course of banking or similar business; (2) Custodian institution – as a substantial portion of its business, hold financial assets for the accounts of others; (3) Investment entity – conducts a business or operates for or on behalf of a customer for any of the activities like trading in money market instruments, foreign exchange, foreign currency, etc. or individual or collective portfolio management or investing, administering or managing funds, money or financial assets on behalf of other persons; or an entity managed by this type of entity; or (4) Insurance company – entity issuing insurance products i.e. life insurance; (5) Holding or Treasury company – entity that is part of an expanded affiliate group that includes a depository, custodian, specified insurance company or investment entity
- b. Direct Reporting NFFE – a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS
- c. GIIN not required category:
- | Code | Sub-Category |
|------|---|
| 01 | Governmental Entity, International Organization or Central Bank |
| 02 | Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank |
| 03 | Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund |
| 04 | Entity is an Indian FI solely because it is an investment entity |
| 05 | Qualified credit card issuer |
| 06 | Investment Advisors and Investment Managers |
| 07 | Exempt collective investment vehicle |
| 08 | Trustee of an Indian Trust |
| 09 | FI with a local client base |
| 10 | Non-registering local banks |
| 11 | FFI with only Low-Value Accounts |
| 12 | Sponsored investment entity and controlled foreign corporation |
| 13 | Sponsored, Closely Held Investment Vehicle |
| 14 | Owner Documented FFI |
- d. 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)
- e. Related Entity - an entity is a "Related Entity" of another entity if one controls the other, or the two entities are under common control (where control means direct or indirect ownership of more than 50% of the vote or value in an entity)
- f. Non-financial foreign entity [NFFE] – Non-US entity that is not a financial institution [including a territory NFFE]. Following NFFEs are excluded from FATCA reporting – (a) Publicly traded corporation / listed companies; (b) Related Entity of a listed company; and (c) Active NFFE
- g. Active NFFE – Any one of the following –

Code	Sub-Category
01	Less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and < 50% of the assets held by NFE are assets that produce or are held for the production of passive income
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	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 NFE status if the entity 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;
04	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;
05	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;
06	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;
07	Any NFE is a 'non for profit' organization which meets all of the following requirements: <ul style="list-style-type: none"> It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence 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; 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;



Code	Sub-Category
	<ul style="list-style-type: none"> The applicable laws of the NFE's jurisdiction 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 jurisdiction 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 jurisdiction of residence or any political subdivision thereof.
h.	Passive NFE - means any NFE that is not (i) an Active NFFE or listed / publicly traded entity or entity related to the listed / publicly traded entity, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations or (iii) 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 - (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)
i.	Passive Income – portion of gross income that consists of dividends, interest, rents and loyalties (other than rents and loyalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE), income equivalent to interest / amount received from pool of insurance contracts, annuities, excess of gains over losses from the sale or exchange of property / from transactions (including futures, forwards or similar transactions) in any commodities but not including (i) any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation or (ii) active business gains or losses from the sale of commodities but only if substantially all the foreign entity's commodities are property, excess of foreign currency gains over losses, net income from notional principal contracts, amounts received under cash value insurance contracts, amounts earned by insurance company in connection with its reserves for insurance and annuity contracts
j.	Controlling Persons means the natural persons who exercise control over an entity. In the case of a trust, such term 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, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.
k.	Non-Participating FFIs [NPFFIs] – an FFI other than participating FFI, a deemed-compliant FFI, or an exempt beneficial owner
l.	Specified US Persons – Any US Person other than i). A publicly traded corporation; ii). A corporation that is a member of the same expanded affiliate group; iii). A tax exempt organization; iv). an individual retirement plan; v). the United States or an agency or instrumentality of the United States; vi). Any state [including District of Columbia and United States possession] or State Authorities; vii). A bank; viii). A real estate investment trust; ix). A regulated investment company; x). an entity registered with the SEC under the Investment Company Act of 1940; xi). A common trust fund; xii). A tax exempt trust; xiii). A registered dealer; xiv). A registered broker
m.	Expanded affiliated group – One or more chains of members connected through ownership (50% or more, by vote or value) by a common parent entity if the common parent entity owns stock or other equity interests meeting the requirements in atleast one of the other members
n.	Owner documented FFI – AN FFI meeting the following requirements – (a) FFI is an FFI solely because it is an investment entity; (b) FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company; (c) FFI does not maintain a financial account for any non-participating FFI; (d) FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in the circumstances, and (e) The designated withholding agent agrees to report to the IRS (or, in 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 US specified 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 US person, an exempt beneficial owner, or an exempted NFE
o.	Exemption Code for US persons

Code	Sub-Category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan
N	Not Applicable

