

**Annexure – A**

**Additional Beneficial Owners**

<b>Beneficial Owner 5:</b> _____ % Ownership <b>Full Legal Name:</b> _____ SSN/PAN/ Tax ID: _____ DOB: _____		<b>Beneficial Owner 6:</b> _____ % Ownership <b>Full Legal Name:</b> _____ SSN/PAN/ Tax ID: _____ DOB: _____	
<b>Address:</b> _____	<b>Residency status:</b> <input type="checkbox"/> U.S. Person <input type="checkbox"/> Non- U.S. Person	<b>Address:</b> _____	<b>Residency status:</b> <input type="checkbox"/> U.S. Person <input type="checkbox"/> Non-U.S. Person
<b>ID Information:</b> Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Yes <input type="checkbox"/> No Phone No: _____ Email id: _____		<b>ID Information:</b> Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Yes <input type="checkbox"/> No Phone No: _____ Email id: _____	
<b>Beneficial Owner 7:</b> _____ % Ownership <b>Full Legal Name:</b> _____ SSN/PAN/ Tax ID: _____ DOB: _____		<b>Beneficial Owner 8:</b> _____ % Ownership <b>Full Legal Name:</b> _____ SSN/PAN/ Tax ID: _____ DOB: _____	
<b>Address:</b> _____	<b>Residency status:</b> <input type="checkbox"/> U.S. Person <input type="checkbox"/> Non-U.S. Person	<b>Address:</b> _____	<b>Residency status:</b> <input type="checkbox"/> U.S. Person <input type="checkbox"/> Non-U.S. Person
<b>ID Information:</b> Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Yes <input type="checkbox"/> No Phone No: _____ Email id: _____		<b>ID Information:</b> Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Yes <input type="checkbox"/> No Phone No: _____ Email id: _____	

<b>Beneficial Owner 9:</b> _____ % Ownership <b>Full Legal Name:</b> _____ SSN/PAN/ Tax ID: _____ DOB: _____		<b>Beneficial Owner 10:</b> _____ % Ownership <b>Full Legal Name:</b> _____ SSN/PAN/ Tax ID: _____ DOB: _____	
<b>Address:</b> _____	<b>Residency status:</b> <input type="checkbox"/> U.S. Person <input type="checkbox"/> Non- U.S. Person	<b>Address:</b> _____	<b>Residency status:</b> <input type="checkbox"/> U.S. Person <input type="checkbox"/> Non-U.S. Person
<b>ID Information:</b> Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Yes <input type="checkbox"/> No Phone No: _____ Email id: _____		<b>ID Information:</b> Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Yes <input type="checkbox"/> No Phone No: _____ Email id: _____	

**Name of Natural Authorised Person**  
 (Same as mentioned in Account Opening Form)

**Position**

**Signature**

**Date (mm/dd/yyyy)**

**Detailed Instructions and Frequently Asked Questions**

**Who has to complete this form?**

This form must be completed by the person with the intent to open an account or apply for credit on behalf of a **legal entity** with any of the following U.S. financial institutions: a bank or credit union; a broker or dealer in securities; a mutual fund; a futures commission merchant; or an introducing broker in commodities.

For the purposes of this form, a **legal entity** includes a corporation, limited liability company, or other entity that is created by a filing of a public document with a Secretary of State or similar office, a general partnership, and any similar business entity formed in the United States or a foreign country. Legal entity does not include sole proprietorships or natural persons opening accounts on their own behalf.

**Is identification of a Control Prong required?**

The Control Prong is required for all non-exempt entities. Even if no Beneficial Owner meets the 25% or more ownership threshold, information about a Control Person must be provided. Charities, Non-Profit entities and Pooled Investment Vehicles advised by a non-exempt entity must also identify a Control Prong.

**Can the Control Prong also be a Beneficial Owner/Natural Authorized Person?** Yes.

The Control Prong can be a Beneficial Owner and/or a Natural Authorized Person.

**What law requires the information contained in this Form?**

31 CFR §1010.230 - Beneficial ownership requirements for legal entity customers.

### Who is a Politically Exposed Person (PEP)?

A Politically Exposed Person is an immediate family member of a Senior Political Figure, such as parents, siblings, spouse, and children; or a close associate of the SPF. A close associate is a person who is widely and publicly known to maintain an unusually close relationship with the SPF, and includes a person who is in a position to conduct substantial domestic and international financial transactions on behalf of the senior political figure.

### Exemptions

Below is the list of exemptions to the Beneficial Ownership rule. If qualified for one of these exemptions enter the number corresponding to the exemption in the section above on exemptions:

Note: If you are exempt because you are a Charity or Non-Profit or a Pooled Investment Vehicle advised by a non-exempt entity you must complete the Control Person section in addition to the Certification from the Natural Authorized Person. If you are exempt for any of the other reasons listed in the detailed instructions, the section labeled Certification from Natural Authorized Person must be completed.

Exemption No	Exemption Title	Enter Yes If Exempted
1	Entities traded on a U.S stock exchange ( NYSE, American or NASDAQ)	
2	A charity or non-profit company (requires a Control Person and a NAP)	
3	A Public Accounting firm registered under section 102 of the Sarbanes-Oxley Act	
4	A Bank regulated by a U.S. state agency	
5	An Insurance company regulated by a U.S. state	
6	A U.S regulated financial institution	
7	An agency of the U.S. Federal government	
8	An agency of a U.S. State government	
9	A U.S. local government agency	
10	A non-U.S. government agency engaged in government activities	
11	A bank holding company	
12	A savings and loan holding company	
13	A financial market utility designated by the Financial Stability Oversight Council	
14	A non-U.S. entity opening a private banking account subject to 31 CFR	
15	A foreign Financial Institution established in a jurisdiction where the regulator of such institution maintains Beneficial Ownership information (requires review and approval by ICICI Bank Limited, New York Branch)	
16	An issuer of a class of securities	
17	An SEC registered investment company, investment advisor, broker dealer or other registered firm with a current SEC registration number	
18	A Commodity Futures Trading Commission registered entity	
19	A pooled investment vehicle that is operated or advised by a financial institution that is exempt from Beneficial Ownership	
20	Non-excluded pooled investment vehicles - those not operated by or advised by a financial institution such as a non-US managed mutual fund, hedged fund or private equity fund (requires Control Person and a NAP).	
21	An Entity, organized in any state under the laws of the United States, with at least 51% of common stock or analogous equity interest held by an entity traded on a U.S. Stock Exchange	
22	Unincorporated Associations (such as scout troops or sport teams/leagues) (Unincorporated associations are excluded and are not required to provide beneficial ownership or signature from a Natural Authorized Person)	