SHRIRAM Finance

DECLARATION OF BENEFICIAL OWNERSHIP

Annexure III

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

Name of the Legal Entity: ____

Registered Address: ____

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

- ☐ Company
- ☐ Association of Persons (AOP)
- ☐ Trust
- ☐ Others (Club, University, Institution etc.)
- ☐ Partnership Firm
- ☐ Body of Individuals (BOI)
- ☐ Society

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

Please fill details of Beneficial Owner holding more than 10% controlling interest (in case of company), 10% or more in case of trust or more than 15% controlling interest (in case of other entities), if Beneficial Owner is not identifiable or there are no natural person(s), who are Beneficial Owners, please fill details of Senior Managing Official.

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

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

2	Full Name of Beneficial owner / Senior Managing Official:	
	Controlling ownership Interest (%):	
	Gender:	☐ Male ☐ Female
	Date of Birth:	
	Address:	
	PIN Code:	
	PAN:	
	Aadhaar No.:	
	KYC Documents:	
	-Identity Proof:	☐ Voter ID; ☐ Passport; ☐ Driving License; ☐ Aadhaar; ☐ NPR Letter
	-Address Proof:	☐ Voter ID; ☐ Passport; ☐ Driving License; ☐ Aadhaar; ☐ NPR Letter
	Director Identification Number (if applicable):	
	Mobile Number(s):	
	Residential status:	☐ Resident Indian Individual; ☐ Foreign/Non-Resident Indian Individual
	Relationship:	☐ Shareholder; ☐ Partner; ☐ Trustee; ☐ Promoter Director; ☐ Nominee Director; ☐ Independent Director; ☐ Other Director; ☐ Chairman/ Member (Society); ☐ Member (AoP); ☐ Others

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

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

For and on behalf of ----------------------------------- [name of Company, partnership firm, unincorporated association or body of individuals and trusts]:
Signature of the Authorized Official*:
Full Name of the Authorized official:
Designation / Position:

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

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

Signature of the SFL Employee:
Employee Name:
Employee Code:
Date:

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

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

Explanation- For the purpose of this sub-clAuthorised Signatoriese-

"Controlling ownership interest" means ownership of/entitlement to more than 10 per cent of the shares or capital or profits of the company.

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

b. Where the customer is a **Partnership firm**, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has/have ownership of/entitlement to more than 10 per cent of capital or profits of the partnership.

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

Explanation: Term 'body of individuals' includes societies.
Where no natural person is identified under (a), (b) or (c) above, the beneficial owner is the relevant natural person who holds the position of senior managing official.

d. Where the customer is a **Trust,** the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with 10% 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.

e. In case the beneficial owner is an individual, self attested copy of any one official valid document (Aadhar/Driving License, Passport and Voter ID card) along PAN need to be obtained in support of beneficial owner declaration.

f. In case the beneficial owner is a non-individual, then self attested copies of complete KYC documents of the non-individual entity need to be obtained. For example, in case the beneficial owner is a company, then self attested copies of Certificate of Incorporation, MOA, AOA, Board Resolution of the Company, Copy of PAN, Address proof in the company name, List of Diretcors, Beneficial owner declaration of the Company, KYC of Authorised Signatories to be submitted.This needs to be followed until we identify the ultimate beneficiar owner.

g. The beneficial ownership declaration must be provided for the entire 100% of the ownership; however, KYC documents are not required for beneficial owners whose controlling ownership is less than 10%.

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