

ANNEXURE 1 - FATCA/CRS DECLARATION

A	Incorporation Information	Details
	Place of Incorporation	
	Country of Incorporation	
	Company Identification Number	
B	Declaration of Tax Residency	
Sr. No.	Country(ies) of Tax Residency	Tax Identification Number
C	Exclusion Category, if applicable, for Tax Residents outside India (Refer glossary)	Details
1	US Persons	
2	Other than US Persons	

Note: Please attach a copy of the Tax Residency Certificate/Copy of Incorporation or Equivalent Document for each of the countries mentioned above.

ANNEXURE 2 - FATCA/CRS DECLARATION

A. Listed Entity/its Related Entity	Yes	No
a) Whether the entity is a listed entity? If yes, Listed in <input type="checkbox"/> NSE <input type="checkbox"/> BSE <input type="checkbox"/> Others _____ (Please specify)	<input type="checkbox"/>	<input type="checkbox"/>
b) Whether the entity is a related entity* of a listed entity? Specify the name of the listed company _____ Listed in <input type="checkbox"/> NSE <input type="checkbox"/> BSE <input type="checkbox"/> Others _____ (Please specify)	<input type="checkbox"/>	<input type="checkbox"/>
<small>* An entity is a related entity of another entity if either entity controls the other entity, or the two entities are under common control (i.e., Ownership of more than 50% of the votes/value in an entity)</small>		
B. Non - Individuals other than Listed entity/its Related Entity (Tick applicable category)		
a) Government Entity	<input type="checkbox"/>	<input type="checkbox"/>
b) International Organization	<input type="checkbox"/>	<input type="checkbox"/>
c) Central Bank	<input type="checkbox"/>	<input type="checkbox"/>
d) Entity wholly owned by a, b, or c above	<input type="checkbox"/>	<input type="checkbox"/>
e) Tax-Exempt Entity engaged in a Charitable Purpose	<input type="checkbox"/>	<input type="checkbox"/>
C. Business		
a) Holding Company (With subsidiaries engaged in non-financial trade or business)	<input type="checkbox"/>	<input type="checkbox"/>
b) Company providing, financing and hedging services to related entities	<input type="checkbox"/>	<input type="checkbox"/>
D. Income/Assets Criteria		
a) 50% or more of the income in preceding financial year is from trading/business activities AND	<input type="checkbox"/>	<input type="checkbox"/>
b) 50% or more of the assets in preceding financial year are held for trading/business purposes	<input type="checkbox"/>	<input type="checkbox"/>

ANNEXURE 3* - BENEFICIAL OWNERSHIP DECLARATION

(Not to be filled in for listed entities, subsidiaries of listed entities, Government Entities, and International Organisations)

Please tick the relevant option below:

- The following natural person(s) (listed in table below) exercise control or ultimately have a controlling ownership interest i.e. having ownership/entitlement of the specified limit (**Note 1**) of shares/capital/profit/property or exercise control through other means such as voting rights, agreement, arrangement etc. **OR**
- There are no natural person(s) who exercise control or ultimately have a controlling ownership interest as stated above, therefore details of all partner(s) (for partnership)/trustees (for trust)/senior managing official (for unincorporated bodies)/directors/senior management (for companies) who are natural person(s) as stated in the below table.

Sr. No	Name	Address as per OVD (R - Residence / O - Office)	Mobile No.	Date of Birth	Gender	Control Details	
						Type (Note 2)	%
1.						<input type="checkbox"/> R <input type="checkbox"/> O	
2.						<input type="checkbox"/> R <input type="checkbox"/> O	
3.						<input type="checkbox"/> R <input type="checkbox"/> O	
4.						<input type="checkbox"/> R <input type="checkbox"/> O	
5.						<input type="checkbox"/> R <input type="checkbox"/> O	

Sr. No	Nationality	Resident of India <input type="checkbox"/> Resident <input type="checkbox"/> Non-Resident	Documents (Note 3)		Father's Name (Note 4)	Occupation (Service/Business/ Others)	Country of Birth	Country of Tax Residence	Tax Identification Number
			PAN ^s	Document					
1.		<input type="checkbox"/> Resident <input type="checkbox"/> Non-Resident							
2.		<input type="checkbox"/> Resident <input type="checkbox"/> Non-Resident							
3.		<input type="checkbox"/> Resident <input type="checkbox"/> Non-Resident							
4.		<input type="checkbox"/> Resident <input type="checkbox"/> Non-Resident							
5.		<input type="checkbox"/> Resident <input type="checkbox"/> Non-Resident							

Note: 1) 25% or more in case of a company and 15% or more in other type of entities

2) Types of control - please use the applicable one

3) (a) Ownership (b) Other means (c) Senior managing official (d) Trustee (e) Settlor (f) Protector (g) Beneficiary (h) Others (please specify)

4) Please quote PAN^s. Other means (c) Senior managing official (d) Trustee (e) Settlor (f) Protector (g) Beneficiary (h) Others (please specify)
Please provide a copy of any of the following documents: Passport/Voter ID/Driving Licence/Aadhaar/UIDAI/National Population Register letter and mention the same in the space above.

*Applicable for Indian nationals/resident individuals. For other countries, functional equivalent of PAN (like Tax identification number or any unique number like SSN) can be provided

I/We agree that I/We will notify IDFC FIRST Bank without delay of any changes to the Beneficial Owner/Controlling natural person, as declared in the table above.

1. Signature of Authorised Signatories:

Name _____	Name _____
Designation _____	Designation _____
Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

2. Signature of Authorised Signatories:

Name _____	Name _____
Designation _____	Designation _____
Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

ANNEXURE 3* - PHOTOGRAPHS OF BENEFICIAL OWNERS



Name _____



Name _____



Name _____



Name _____



Name _____



Name _____

ANNEXURE 4 - GST ANNEXURE
CUSTOMER DETAILS

 Branch Name

 Customer Name

 GST Status Registered Unregistered

 Are you exempted from GST? Yes (Please submit documentary evidence for the exemption) No

 If exempt Customer level exemption Account level exemption

 Related person to IDFC FIRST Bank Yes No (If yes, please note that GST as may be applicable, needs to be paid by the related person.)

(Refer Glossary of terms for definition of related person)

If Registered then Provide the State wise GST details

Please mention the primary GSTN for this account as the first GSTN.

Sr.No.	Name of the State	GST Registration Number [#]	Address as per GSTN records ^{\$}	Remarks
		<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		
		<input type="text"/>		

\$ Address as per GSTN records is the address of receiving the service.

If you have more than 10 GST Registration Numbers; please use another copy of this sheet.

Name _____ Name _____ Name _____

Designation _____ Designation _____ Designation _____

Signature and Stamp

Signature and Stamp

Signature and Stamp



TELL US ABOUT THE PEOPLE WHO WILL BE OPERATING THIS ACCOUNT

Title Mr. Ms. Mrs. **SIGNATORY 1**

Name
*FIRST NAME *MIDDLE NAME *LAST NAME

Designation

Internet Banking Yes No Transact View

If Existing IDFC FIRST Bank Ltd. customer Customer ID

*DOB
D D M M Y Y Y Y DIN

*PAN Form 60 (If you have a PAN it is mandatory to provide details to the bank at the time of opening an account. If you do not have PAN, please complete a Form 60.)

*Gender Male Female Third Gender

*Nationality Resident Non-Resident Foreign National - Resident Foreign National - Non-Resident

*Country of Birth *Country of Tax Residence

*Mother's Maiden Name

Landline No. (STD Code) (Number) *Mobile

*E-mail ID

Account level Email Statements: Yes No

*Address (as per OVD)

Landmark (If any) City District

State Country Pin Code

Identity Proof Name of Document

Document ID No.

Expiry Date
D D M M Y Y Y Y

Title Mr. Ms. Mrs. **SIGNATORY 2**

Name
*FIRST NAME *MIDDLE NAME *LAST NAME

Designation

Internet Banking Yes No Transact View

If Existing IDFC FIRST Bank Ltd. customer Customer ID

*DOB
D D M M Y Y Y Y DIN

*PAN Form 60 (If you have a PAN it is mandatory to provide details to the bank at the time of opening an account. If you do not have PAN, please complete a Form 60.)

*Gender Male Female Third Gender

*Nationality Resident Non-Resident Foreign National - Resident Foreign National - Non-Resident

*Country of Birth *Country of Tax Residence

*Mother's Maiden Name

Landline No. (STD Code) (Number) *Mobile

*E-mail ID

Account level Email Statements: Yes No

*Address (as per OVD)

Landmark (If any) City District

State Country Pin Code

Identity Proof Name of Document

Document ID No.

Expiry Date
D D M M Y Y Y Y

Contd...7/10

Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs.	<input checked="" type="checkbox"/> SIGNATORY 3								
Name	<table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 33%; height: 20px;"></td> <td style="border: 1px solid black; width: 33%; height: 20px;"></td> <td style="border: 1px solid black; width: 33%; height: 20px;"></td> </tr> <tr> <td style="text-align: center; font-size: 8px;">*FIRST NAME</td> <td style="text-align: center; font-size: 8px;">*MIDDLE NAME</td> <td style="text-align: center; font-size: 8px;">*LAST NAME</td> </tr> </table>					*FIRST NAME	*MIDDLE NAME	*LAST NAME		
*FIRST NAME	*MIDDLE NAME	*LAST NAME								
Designation	<table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 100%; height: 20px;"></td> </tr> </table>									
Internet Banking	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Transact <input type="checkbox"/> View									
If Existing IDFC FIRST Bank Ltd. customer	Customer ID <table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 33%; height: 20px;"></td> <td style="border: 1px solid black; width: 33%; height: 20px;"></td> <td style="border: 1px solid black; width: 33%; height: 20px;"></td> </tr> </table>									
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*PAN	<input type="checkbox"/> Form 60 (If you have a PAN it is mandatory to provide details to the bank at the time of opening an account. If you do not have PAN, please complete a Form 60.)									
*Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Third Gender									
*Nationality	<input type="checkbox"/> Resident <input type="checkbox"/> Non-Resident <input type="checkbox"/> Foreign National - Resident <input type="checkbox"/> Foreign National - Non-Resident									
*Country of Birth	<table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 50%; height: 20px;"></td> <td style="border: 1px solid black; width: 50%; height: 20px;"></td> </tr> </table>									
*Mother's Maiden Name	<table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 100%; height: 20px;"></td> </tr> </table>									
Landline No.	<table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 20%; height: 20px;"></td> <td style="border: 1px solid black; width: 20%; height: 20px;"></td> <td style="border: 1px solid black; width: 60%; height: 20px;"></td> </tr> <tr> <td style="font-size: 8px; text-align: center;">(STD Code)</td> <td style="font-size: 8px; text-align: center;">(Number)</td> <td></td> </tr> </table>					(STD Code)	(Number)			
(STD Code)	(Number)									
*E-mail ID	<table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 100%; height: 20px;"></td> </tr> </table>									
Account level Email Statements:	<input type="checkbox"/> Yes <input type="checkbox"/> No									
*Address (as per OVD)	<table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 100%; height: 20px;"></td> </tr> <tr> <td style="border: 1px solid black; width: 100%; height: 20px;"></td> </tr> </table>									
Landmark (If any)	<table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 40%; height: 20px;"></td> <td style="border: 1px solid black; width: 20%; height: 20px;"></td> <td style="border: 1px solid black; width: 20%; height: 20px;"></td> <td style="border: 1px solid black; width: 20%; height: 20px;"></td> </tr> <tr> <td></td> <td style="font-size: 8px; text-align: center;">City</td> <td style="font-size: 8px; text-align: center;">District</td> <td></td> </tr> </table>							City	District	
	City	District								
State	<table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 33%; height: 20px;"></td> <td style="border: 1px solid black; width: 33%; height: 20px;"></td> <td style="border: 1px solid black; width: 33%; height: 20px;"></td> </tr> <tr> <td></td> <td style="font-size: 8px; text-align: center;">Country</td> <td style="font-size: 8px; text-align: center;">Pin Code</td> </tr> </table>						Country	Pin Code		
	Country	Pin Code								
Identity Proof	Name of Document <table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 100%; height: 20px;"></td> </tr> </table>									
	Document ID No. <table border="0" style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 100%; height: 20px;"></td> </tr> </table>									
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D D	M M	Y Y Y Y								

DECLARATION FOR EXEMPTION FROM REQUIREMENT OF PAN

We declare that as per provisions of the Section 139A of the Income Tax Act, we are not required to obtain a PAN from the Assessing Officer of the Income Tax Dept. Hence we do not have any PAN number allotted to us. Kindly accept this application without the submission of PAN and also allow cash deposit in our account without submission of PAN or Form 60. Further, the interest income on the Fixed Deposits held with the Bank is not subject to TDS provision u/s 194A of the Income Tax Act, 1961. We hereby submit documents in support of what is mentioned above.

Name _____	Name _____	Name _____

DECLARATION (Please read carefully and sign at the end of this section)

1. I/We wish to avail the banking facilities/products from IDFC FIRST Bank Limited ("IDFC FIRST Bank"), and have read, understood and agree to the Terms and Conditions displayed on the website of IDFC FIRST Bank i.e. www.idfcfirstbank.com, which may be amended by IDFC FIRST Bank from time to time and hosted and notified on the website of IDFC FIRST Bank. **2.** I/We have read, understood and agree to the charges/costs, mentioned in the extant Schedule of Charges. This Schedule of Charges is also displayed on www.idfcfirstbank.com. **3.** I/We agree to abide by and be bound by all applicable rules/regulations/instruction/guidelines issued by the Reserve Bank of India, and under the FEMA regulations, 2000 governing EFC Accounts, the Foreign Exchange Management Act, 1999 and Foreign Account Tax Compliance Act, 2010 (to the extent applicable to India) and the Common Reporting Standards (CRS), in force from time to time. I/We have declared our status as per the rules applicable under section 285BA of the Income Tax Act, 1961 (the Act) as notified by Central Board of Direct Taxes (CBDT) in this regard. **4.** I/We authorize IDFC FIRST Bank to conduct my/our credit history verification with CIBIL or any other credit rating agency and acknowledge that IDFC FIRST Bank 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 IDFC FIRST Bank. I/We declare that I/we have not availed any credit facility from any bank or have obtained NOC from such bank(s) for opening of a current account with IDFC FIRST Bank. **5.** I/We agree to furnish and intimate to IDFC FIRST Bank any other particulars that we are called upon to provide on account of any change in law/statutory requirements either in India or abroad. I/We authorize IDFC FIRST Bank to exchange, share or part with all the Customer Information/KYC documents provided herein with financial institutions/agencies/statutory bodies/other such persons including but not limited to financial products/services providers e.g. Insurance companies, Asset Management Companies etc which whom IDFC FIRST Bank has agency/distribution/marketing arrangement, as may be required by IDFC FIRST Bank. I/We shall not hold IDFC FIRST Bank or its agents/representatives liable for using/sharing such information. **6.** I/We hereby declare that the information provided herein as well as in the documentary evidence provided by me/us to IDFC FIRST Bank (the "Customer Information") is true, correct and complete in all aspects to the best of my/our knowledge and that I/We have not withheld any Customer Information that may affect the assessment/categorization of the account as a Reportable account or otherwise. I/We further agree that any false/misleading Customer Information given by me/us or suppression of any material fact will render my/our account liable for closure and the bank shall have the right to initiate any action, under law or otherwise. **7.** If any of the information provided here is incorrect, I/We hereby agree to indemnify and keep indemnified IDFC FIRST Bank, affiliates and their successors or assignees. **8.** I/We agree and understand that IDFC FIRST Bank reserves the right to reject my/our account opening application form/request without assigning any reason thereof and without being liable to me/us in any manner whatsoever. **9.** For accounts with Method of Operation "Either or Survivor", I/We hereby confirm that premature withdrawals of all Term Deposits placed and/or proposed to be placed shall be paid by IDFC FIRST Bank under the operation rule of "Either or Survivor". **10.** In the absence of any special instructions, the deposit will be renewed on maturity for a like term at the then applicable interest rates. **11.** As per Section 139(5A) of the Income Tax Act, every person receiving any sum of income or amount from which Tax has been deducted under the provisions of the Income Tax Act shall provide his/her PAN number to the person responsible for deducting such Tax. In case the PAN number provided, the bank shall not be liable for the non availing of the credit of tax deducted at Source. **12.** As per section 206AA introduced by Finance (No. 2) Act, 2009 w.e.f 01.04.2010 every person receives income on which TDS is deductible shall furnish his/her PAN number, failing to which TDS shall be deducted at the rate of 20% in case of domestic deposits and 30.90% in case of NRO deposits*. Please further note that in absence of PAN, Form 15G/H and other exemption certificates will be invalid even if submitted & penal TDS will be applicable. **13.** All fees/charges to be paid shall be exclusive of goods and services tax (GST), as may be applicable. **14.** IDFC FIRST Bank will provide me/us Services Accounting Code (SAC) and this will be quoted in all invoices/credit/debit notes. **15.** IDFC FIRST Bank will determine if I/We are related party based on documents available or submitted for this purpose. **16.** IDFC FIRST Bank will determine the location of service provided which shall be binding on me/us. **17.** I/We shall provide the Bank with the details of exemption or lower rate of tax, if any supported by relevant documents prior to availing of services. **18.** For smooth realisation of input tax credit, I/We shall validate the invoices uploaded in the GSTN portal by the Bank between the 10th - 15th day of the month succeeding the relevant period. In case of any discrepancies, I/We shall bring it to the notice immediately. **19.** IDFC FIRST Bank will issue invoices on a monthly basis. The contents of all the invoices, debit notes, credit notes, etc. will be as per rules and guidelines in the GST law. **20.** I am fully aware that the bank sends SMS alerts on all account/card related

transactions promptly on the mobile number shared at the time of account opening/updated subsequently and any failure to update contact information with the bank may result in any financial loss in case of misuse of cards. **21.** I understand, acknowledge and authorize that as per the provisions of Income Tax Act, Rules made thereunder and the guidelines issued by the Government/RBI in the matter, depending upon the residential status and/or other criteria stipulated therein, the Bank may have to report the details in respect of my account(s) as per the prescribed format to the Central Board of Direct Taxes (CBDT) or other Government Agencies to comply with the obligations as per the Inter-Governmental Agreements (IGA) in respect of Foreign Accounts T. Compliance Act (FATCA) and Common Reporting Standards (CRS) and / or any other similar arrangements. **22.** I undertake the responsibility to declare, disclose and recertify within 30 days any changes that may take place in the information provided in the account opening form and signed by me as well as in the documentary evidence provided by me or if any certifies tion become incorrect. **23.** I also agree that our failure to disclose any material fact known to me now or in future, may invalidate my application and IDFC FIRST Bank would be within its right to put restrictions in the operations of my account or take appropriate action permissible under the Indian regulations for the purpose or take any other action as may deemed appropriate if the deficiency is not updated/rectified by me within the stipulated period. **24.** I agree to furnish any particulars/information that is called upon me by IDFC FIRST Bank on account of any change in law either in India or abroad in the subject matter herein. **25.** In the event there is any tax demand (including interest(if any)) raised due to nondisclosure/inaccurate disclosure of information/documents on my/our part, I undertake to pay the demand forthwith and provide the bank with all information/documents that may be necessary for any proceeding before GOI/RBI/Income Tax Authorities. **26.** By opening an account; I/We are willing to enroll and avail Doorstep banking non-cash services (i.e. pick-up and/or delivery of cheque and/or documents) - details of which are available on www.idfcfirstbank.com. **27.** IDFC FIRST Bank protects the interest of its customers against any unauthorised electronic banking transaction. You may visit Bank's website www.idfcfirstbank.com for more details in respect of the same.

Would you like IDFC FIRST Bank to contact you and tell you about new products, features and offers? Yes No

<div style="border: 1px solid black; padding: 5px; width: 100px; margin: 0 auto;">RECENT Colour Photograph</div>	Name of Signatory 1 <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <div style="border: 1px solid black; width: 100%; height: 40px; margin: 5px 0;"></div> Signature	<div style="border: 1px solid black; padding: 5px; width: 100px; margin: 0 auto;">RECENT Colour Photograph</div>	Name of Signatory 2 <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <div style="border: 1px solid black; width: 100%; height: 40px; margin: 5px 0;"></div> Signature	<div style="border: 1px solid black; padding: 5px; width: 100px; margin: 0 auto;">RECENT Colour Photograph</div>	Name of Signatory 3 <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <div style="border: 1px solid black; width: 100%; height: 40px; margin: 5px 0;"></div> Signature
stamp		stamp		stamp	

BANK USE SECTION

Payment Details	Amount <input type="text"/>	<input type="checkbox"/> Cheque/DD	<input type="checkbox"/> NEFT/RTGS
Cheque No. <input type="text"/>	Bank Name <input type="text"/>	Branch Name <input type="text"/>	
Date <input type="text"/>	Trace ID <input type="text"/>	UTR <input type="text"/>	
<small>D D M M Y Y Y Y</small>	Customer ID <input type="text"/>	Account No. <input type="text"/>	
Branch Code <input type="text"/>	Branch Name <input type="text"/>	Product Code <input type="text"/>	
Sourcing Branch Code <input type="text"/>	Lead Generator <input type="text"/>	Lead Warmer <input type="text"/>	
Lead Converter <input type="text"/>	Biz/Segment Code <input type="text"/>	Profit Centre <input type="text"/>	
Lead ID <input type="text"/>	Promo Code <input type="text"/>	RM Code <input type="text"/>	
Program Code <input type="text"/>	Group ID <input type="text"/>		
Work Item ID <input type="text"/>			

Banker Certification

I have met the customer at his: Communication Address Business Address Other

AND

I have seen the original KYC documents and returned these to the customer. Copy/Photo taken for record

AND

The customer has signed in my presence

Name Date

Employee ID D D M M Y Y Y Y Signature/Stamp

GLOSSARY OF TERMS

Definition of related person under GST is as under:

- (a) persons shall be deemed to be "related persons" if-
- (i) such persons are officers or directors of one another's businesses;
 - (ii) such persons are legally recognised partners in business;
 - (iii) such persons are employer and employee;
 - (iv) any person directly or indirectly owns, controls or holds twenty-five per cent or more of the outstanding voting stock or shares of both of them;
 - (v) one of them directly or indirectly controls the other;
 - (vi) both of them are directly or indirectly controlled by a third person;
 - (vii) together they directly or indirectly control a third person; or they are members of the same family;
- (b) the term "person" also includes legal persons;
- (c) persons who are associated in the business of one another in that one is the sole agent or sole distributor or sole concessionaire, howsoever described, of the other, shall be deemed to be related.

Explanation I. - The term "person" also includes legal persons.

Explanation II. - Persons who are associated in the business of one another in that one is the sole agent or sole distributor or sole concessionaire, howsoever described, of the other, shall be deemed to be related.

U.S. Persons

- a) A tax resident of U.S.
- b) A U.S. entity or organization incorporated in U.S.
- c) A partnership or a corporation organized in the U.S. or under the law of the U.S. or any states thereof
- d) A trust- (i) where a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust,
- e) An estate of a decedent that is a citizen or resident of the United States

Exclusion Categories for U.S. Persons

- a) A corporation the stock of which is regularly traded on one or more established securities markets
- b) 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)
- c) The United States or any wholly owned agency or instrumentality thereof
- d) 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
- e) 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
- f) Any bank as defined in section 581 of the U.S. Internal Revenue Code
- g) Any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code
- h) 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);
- i) Any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code
- j) 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
- k) 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
- l) A broker as defined in section 6045(c) of the U.S. Internal Revenue Code
- m) 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

Exclusion Category - For other than U.S. Persons

- a) A corporation, the stock of which is regularly traded on one or more established securities markets
- b) Any corporation that is a related entity of a corporation mentioned above:
- c) A Governmental Entity
- d) An International Organisation
- e) A Central Bank
- f) A Financial Institution