

Annexure CA-4

Format for details of Shareholders/Beneficial Ownership

(On the Company/LLP /Partnerships/Societies/Associations/Club/Trust/Co-op Bank Letter head)

Name of the Entity: -

PAN: -

(A) Complete shareholding pattern of the entity, including details of ultimate natural persons with following shareholding:

- In case of Company/Partnership firms/LLP - More than 10% shares/capital/profits or exercising ultimate control in the entity.
- In case of trust- identification of the author of the trust, the trustee, the beneficiaries with 10 % or more interest in the trust.
- In case of unincorporated association or body of Individuals - More than 15% of the ownership/ entitlement of the property or capital or profits.

Sr. No	Name of Shareholders	% of share	Mention reason if belongs to exempted category #
1)			
2)			
3)			
4)			
5)			

OR

(B) I / We hereby declare that no natural person is holding more than the defined percentages of shareholding/capital/profits as defined in point A above. The details of senior managing official (e.g. Managing Director/Chief Executive Officer, President /Chairman etc) are as under:

SR No	Name	Designation	Date of Birth	Nationality	Residential Address	ID proof no. **

Declaration:

Above mentioned details are the latest and same is also updated in MCA as on date

OR

Above mentioned details are not updated on MCA portal due to (Specify the Reason and same to be certified practicing Chartered Accountant along with membership, UDIN & SEAL)

- ❖ Are you (or any of the Beneficial Owners / Senior Managing Official) a Politically Exposed Person (PEP) or are you (or any of the Beneficial Owners / Senior Managing Official) a family member¹ or close associates² of Politically Exposed Person (PEP)

Yes ☐ No ☐

In case Beneficial Owner / Senior Managing Official (SMO) is PEP, please provide name of such Beneficial Owner:

1. _____ 2. _____

3. _____

1. The term family member includes close family members such as spouse, children, parents and siblings and may also include other blood relatives and relatives by marriage.
2. The term close associates in context of PEP include close business colleagues and personal advisors/consultants to the PEP as well as persons who obviously benefit significantly from being close to such a person

Signature,

(Any Director/Authorized Signatory/ Whole-time Company Secretary)

Date :

Notes:

In Table A, the details of a natural person who exercises control over the entity needs to be furnished. The said natural person may act alone or together, or through one or more juridical person.

*In case no such natural person is identifiable, indicate "Not identified" in Table A and provide details required as per Table B.

Exempt Category: Where the customer or the owner of the controlling interest is

- (i) an entity listed on a stock exchange in India, or
- (ii) it is an entity resident in jurisdictions notified by the Central Government and listed on stock exchanges in such jurisdictions, or
- (iii) it is a subsidiary of such listed entities; it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such entities.

** One of the "Officially Valid Document" (OVD) as per RBI guidelines needs to be provided as ID and Address proof along with photo and PAN/form 60.