

CONFIRMATION UNDER THE FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) FOR DETERMINING US PERSON STATUS [Mandatory for all investors (Guardian in case of minor) and Joint holder(s)]

To Harihar Securities Private Limited 268A, B B Gangly Street, 4 th Floor, Kolkata-700012 CIN: U51109WB1997PTC083137 Contact: 033-22624001/02 Email Id: info@hariharsecurities.com	UCC: DP ID(IN304029) Client Id:
	Client Name:
	Address:

FATCA DECLARATION FOR INDIVIDUAL CLIENTS

Please provide a response common to all holders in the folio(s). If the answer to any one of the question for any one of the holder is "Yes", please tick on "Yes" against the question

FOR INDIVIDUAL INVESTORS (INDIVIDUAL / NRI / HUF / ON BEHALF OF MINOR / PROPRIETORSHIP FIRM)

FATCA Compliance Confirmation Indicia	"Yes" or "No" please(✓)	
Are you a resident or Citizen of the United States?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is US your place of birth?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have a US telephone number in the capacity of a resident / citizen of US?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you hold any residence / mailing address / 'C/o addresses / hold mail address / PO Box address in the US?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is your POA holder based out of US or hold US residence / citizenship?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you pay tax in the US?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you hold an Identification Number or any identification that indicates US residence / citizenship?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

In case of individual client who is a resident or Citizen of the United States:

Spouse Name : _____

Nationality: _____ Place of Birth: _____

Tax Identification Number (TIN) allotted by Tax resident country: _____

TIN Issuing country : _____

Foreign Address : _____

DECLARATION & SIGNATURE(S) (To be signed as per mode of holding)

Client agrees to provide the trading member and/or depository participant with any documentation or information requested relating to individual or entity tax status. To the extent required by the trading member and/or depository participant, client hereby consents to the disclosure and reporting of any tax related information obtained or held by the trading member and/or depository participant to any local or foreign regulatory or tax authority ("Tax Authority"). Upon request by the trading member and/or depository participant, client hereby agrees to obtain a written waiver or consent from the entity's "substantial owners" or "controlling persons" and to provide those consents to the trading member and/or depository participant to permit it to disclose and report tax and account specific financial information to any local or foreign Tax authority. The terms "substantial owners" and "controlling persons" shall have the meaning as defined under local or foreign tax laws, regulatory guidance or inter governmental cooperation agreements. The potential consequences for failure to comply with requests for tax information, failure to respond to requests for waivers or consents for tax information disclosure, and/or failure to respond to requests to obtain waivers or consents from substantial owners or controlling persons, include, but are not limited to: (a) trading member and/or depository participant has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b) trading member and/or depository participant has the ability to withhold taxes that may be due from certain payments made to the client's account; (c) trading member and/or depository participant has the right to pay relevant taxes to the appropriate tax authority; (d) trading member and/or depository participant has the right to refuse to provide certain services; and (e) trading member and/or depository participant has the discretion to close client accounts. The client agrees to inform, or respond to any request from, the trading member and/or depository participant, if there are any changes to tax information previously provided.

Authorized Signatory 1 / 1st Applicant

Authorized Signatory 2 / 2nd Applicant

Authorized Signatory 3 / 3rd Applicant

Date: _____

Place: _____

**CONFIRMATION UNDER THE FOREIGN ACCOUNT TAX COMPLIANCE ACT
(FATCA) FOR DETERMINING US PERSON STATUS [Self Certification for Entities
(non- individuals who are not listed/not an Indian Financial Institution)]**

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	Client Name:
	Address:

I/we hereby declare that

- The account holder is not a Government body/International Organization/ listed company on recognized stock exchange
- The account holder is not tax resident of any country other than India
- The account holder is not an Indian Financial Institution as defined under Rule 114F(3) of the Income Tax Rules, 1962 as amended
- The substantial owners or controlling persons in the entity or chain of ownership is/are
 - not resident for tax purpose in any country outside India
 - are Indian citizen(s)

Under penalty of perjury, I/we further certify that:

- I/We understand that the Harihar Securities Private Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Harihar Securities Private Limited is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes Incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities the Harihar Securities Private Limited may also be required to report, reportable details to CBDT or close or suspend my account.
- I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

(Company Seal/Stamp to be affixed with Signature)