KYC DETIALS SOUGHT BY CANBANK VENTURE CAPITAL FUND LTD.

1) For Nomination in the board of CVCFL (as and when there is change in directors)

- List of documents collected from directors –(as proof of ID & proof of address) to share with Company Law Consultant. The same is being used by the Company law consultant for registration of e Forms **with ROC**

  a) PAN
  b) Adhaar
  c) Voter ID / Passport / Driving License
  d) DIN No.
  e) DSC
  f) Mobile no.
  g) Photo
  h) Email ID

2) For newly joined employee, PF member addition/ registration in PF Employer Portal

- PAN No.
- Adhaar No.
- Date of Birth
- Bank account details
- UAN no. if the employee is already a PF member
- Name of the Father / Spouse
- Mobile no.

3) For Income tax

- For registration in the Income tax portal
  1) PAN of the organization
  2) Principal contact details – PAN No./ Adhaar No., Email ID , Mobile no., DSC
  3) Updation / Validation of Bank details of the organization for refund

- For registration in the TDS Traces portal
  1) TAN no.
  2) PAN no.
  3) Name of the organisation
  4) Authorised signatory details like PAN No. & Mobile No.

4) **Corporate Net Banking –**

PAN & Adhaar of Authorised signatories approved by Board

5) For GST

a) Managing Director – Photo, Adhaar, PAN, DSC
b) Contact details – Email ID, Mobile no., DSC
c) Authorised signatory – PAN, Email id, mobile no. DSC

PROCESS FOR SETTING UP AN TRUST AND LAUNCHING A NEW SCHEME

KEY STEPS / PROCESS FOR SETTING UP OF DIRECT FUND/ FUND OF FUNDS

1. **Legal Advisors seek data viz., KYC details of Sponsor, Trustee & IM in compliance with SEBI for Setting up of Direct Fund / Fund of Funds.**
    - Sponsor
    - Investment Manager - CVCFL
    - Trustee
    - Trust deed (To Register Trust)

2. In some cases, Government institutional investors viz., request for KYC Details of Sponsor/Trustee/ IM for fund details.
3. Appointment of Merchant Banker for vetting of the PPM and issuing due diligence certificate.
4. Memorandum (PPM) with SEBI for SEBI approval through a Merchant Banker.
5. Creation of PAN and TAN for Trust and Fund / Scheme (documents / KYC are shared)
6. **Investor onboarding / Advisors onboarding**
    - KYC of investors and Advisors
    - FATCA/CRS compliance where applicable

7. **Launch a scheme** (Initial Close / Final Close is declared)
    - Updated PPM is filed to SEBI through a merchant banker and Intimation is sent to SEBI regarding First / Initial Close of the Fund
    - Custodian to be appointed (KYC Documents of IM, Sponsor, Trustee to be shared)
    - RTA Agent appointment (KYC Document of IM, Sponsor, Trustee

8. **REPORTING BY FUNDS TO REGULATED AUTHORITIES**
    - SEBI Annual/Qtrly uploaded on their portal – Key Persons KYC.
    - Fund and portfolio details shared to Custodian
    - Allotment of units by RTA – KYC details of Investors
    - FATCA Reporting – KYC of Authorised signatories approved by our board

9. **EMPANELLMENT OF DUE DILIGENCE**
    Data Protection Agreement to be executed.

10. **Vendor Onboarding:** Personal and contact information is processed while onboarding and managing vendors providing website maintenance, email services, managed IT services, Xerox machines and telephone services.

Note : Though we are subsidiary of Canara Bank, we don't seek KYC frequently or daily basis. We seek during setup for Fund, during recruitment, if there are changes in Board of Directors of CVCFL.