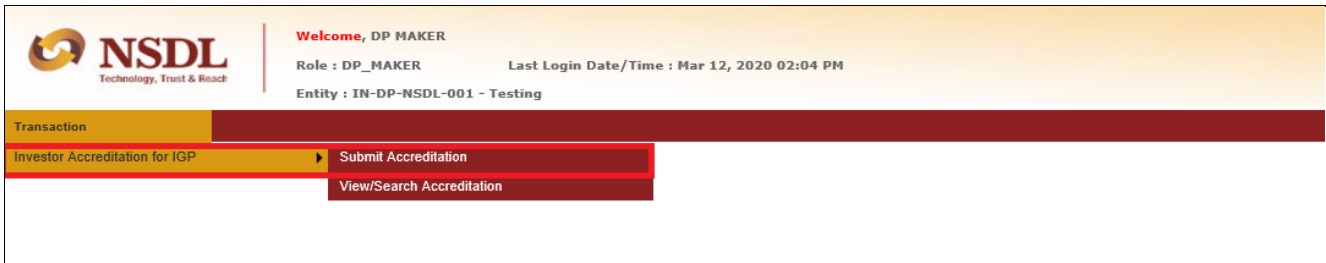


Annexure

Participants are hereby informed that a new feature has been incorporated on e-Pass portal to facilitate participants for accreditation of investors for the purpose of Innovators Growth Platform (IGP). We have introduced new option viz., 'Investor Accreditation for IGP' under menu viz., 'Transaction'. On clicking this option, it will display two sub-menus as under:


- **Submit Accreditation:** This section will enable user to capture/submit the Accredited Investors applications.
- **View/Search Accreditation:** This section will populate all AI applications submitted/approved by the Participant.

The maker / checker functionality need to be followed for the AI application request. The applications for Accreditation can be submitted by Maker user. Maker user shall capture and submit the same by clicking on sub menu 'Submit Accreditation' under the option viz., 'Investor Accreditation for IGP' as exhibited below.



The screenshot shows the NSDL e-Pass portal interface. At the top left is the NSDL logo. The main header area displays: "Welcome, DP MAKER", "Role : DP_MAKER", "Last Login Date/Time : Mar 12, 2020 02:04 PM", and "Entity : IN-DP-NSDL-001 - Testing". Below this, a "Transaction" menu is expanded to show "Investor Accreditation for IGP". Under this menu, two sub-menus are visible: "Submit Accreditation" and "View/Search Accreditation".

On clicking on the sub menu viz., Submit Accreditation, the system will be redirected into new application capture screen as exhibited below wherein user will be able to capture details of Accredited Investor under appropriate category viz., Individuals/HUF and Non-Individuals (including LLP).



The screenshot shows the "APPLICATION FOR ACCREDITATION AS AN ACCREDITED INVESTOR" screen. At the top, it says "Entity : IN-DP-NSDL-001 - 350". Below the title, there are two radio buttons: "For Individuals/HUF" (which is selected) and "For Non-Individuals (including LLP)". Below these, there is a field for "Application Request No." and a "Client ID *" field with a "Client ID" input box.

As per applicant's category type, user needs to select radio button viz., Individuals/HUF and Non-Individuals (including LLP). User will be required to enter Client ID and associated DP ID for which AI application needs to be submitted along with Application date as exhibited below:

For Individuals/HUF For Non-Individuals (including LLP)

Application Request No.

Client ID *

DP ID *

Application Date *

A. Identity Details

Name of the Applicant

PAN No. *

Aadhaar Number

And/Or

Date of Birth *

Passport Number

The following details are required to be captured as per applicant's category type:

A. Identity Details:

Upon entering of client id, the Name of the Applicant will be auto populated as per NSDL demat system. For individuals, participants will fill the details as exhibited below. PAN no. and Date of Birth are mandatory to submit the AI application. Participant will have to capture either Aadhaar no and/or Passport no.

A. Identity Details

Name of the Applicant

PAN No. *

Aadhaar Number

And/Or

Date of Birth *

Passport Number

For Non-individual, participants will fill the details as exhibited below wherein PAN no. is mandatory to submit the AI application.

A. Identity Details

Name of the Applicant

PAN No. *

B. Financial Details:

For individuals, participants will fill financial year wise income details as exhibited below. All fields provided under this section are mandatory to submit the AI application. Liquid Net Worth as on date cannot be prior to one year.

B. Financial Details

Income Details * (please specify)

Total gross income per annum (should be atleast Rs. 50 lakhs annually)

Financial Year	<input type="text" value="Select"/>	Rs.	<input type="text" value="0.00"/>
Financial Year	<input type="text" value="Select"/>	Rs.	<input type="text" value="0.00"/>
Financial Year	<input type="text" value="Select"/>	Rs.	<input type="text" value="0.00"/>

Liquid Net Worth (should be atleast Rs. 5 crores)

As on Date *

Amount (in Rs.) *

For non-individuals, participants will fill details in respect of Net Worth as exhibited below which are mandatory to submit the AI application.

B. Financial Details


Net Worth* (should be atleast Rs. 25 crores)

As on Date *

Amount (in Rs.) *







* Certificate from statutory auditor calculating net worth amount

C. Document Upload:



For individuals, participants will be required to upload documents for verification purpose. For uploading documents, user will have to click on browse button and select appropriate file (in .pdf only) and click on upload icon  provided next to browse option. User can also re-upload or delete the uploaded file.

For Income tax Return, user has to upload file for each financial year which are captured under section viz., Financial Details. Please refer screen for this section as exhibited below:

C. Documents to upload











Copy of PAN Card *	<input type="text"/>	Browse...	 
Copy of Aadhaar Card or copy of valid Passport (Karta's in case of HUF) *	<input type="text"/>	Browse...	 
Certificate from practicing chartered accountant for networth computation as per specified format annexed with this form. *	<input type="text"/>	Browse...	 

Income tax Return of last 3 financial years *









Financial Year	File to upload
Select ▼	<input type="text"/> Browse...  

For non-individuals, please refer below screen. For Income tax Return, user has to upload file for each financial year.

C. Documents to upload

Copy of PAN Card of Body Corporate *	<input type="text"/>	Browse...	 
Copy of certificate of Incorporation *	<input type="text"/>	Browse...	 
Copy of registration from regulatory authority, if any.	<input type="text"/>	Browse...	 
Certificate from statutory auditor calculating net worth amount. *	<input type="text"/>	Browse...	 
Certified copy of Board Resolution to make application for Accredited Investor as per IGP norms. *	<input type="text"/>	Browse...	 

Copies of Financial Statements and Income tax return of last 3 financial years *

Financial Year	File to upload
Select ▼	<input type="text"/> Browse...  
Select ▼	<input type="text"/> Browse...  
Select ▼	<input type="text"/> Browse...  
Select ▼	<input type="text"/> Browse...  

D. For Office Use Only:

User has to mandatorily capture details under this section as exhibited below.

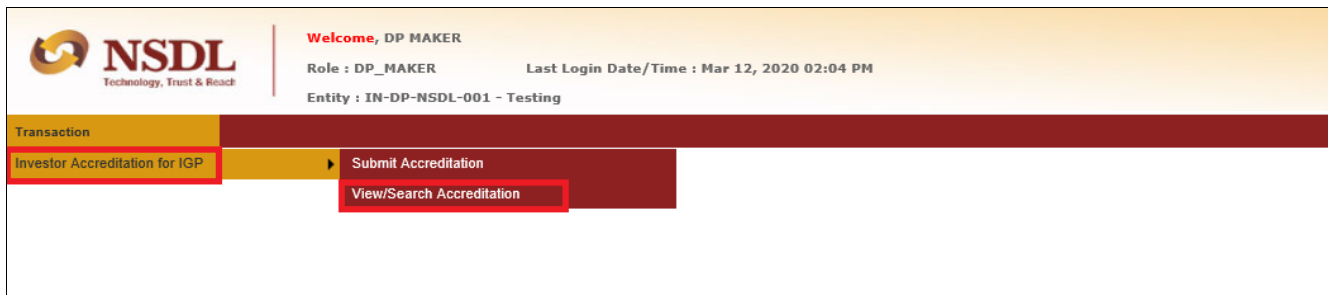
For Office Use Only (Not to be filled up by Applicant)


Self- attested applications documents verified

Name of Authorised Signatory: *

Date: *

Maker User shall capture all required fields and submit the application to the checker user for review. Once the application get submitted, checker user will be able to view the application on link View/Search Accreditation provided under option viz., 'Investor Accreditation for IGP' as exhibited below.

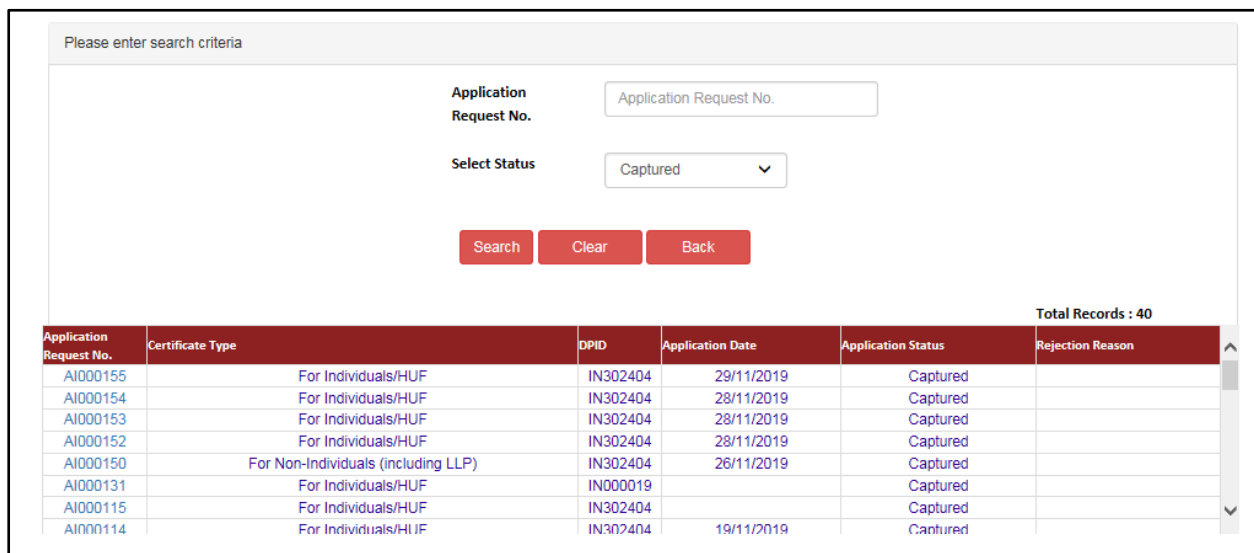



Welcome, DP MAKER
 Role : DP_MAKER Last Login Date/Time : Mar 12, 2020 02:04 PM
 Entity : IN-DP-NSDL-001 - Testing

Transaction

Investor Accreditation for IGP

- Submit Accreditation
- View/Search Accreditation



Please enter search criteria

Application Request No.
 Select Status

Total Records : 40

Application Request No.	Certificate Type	DPID	Application Date	Application Status	Rejection Reason
AI000155	For Individuals/HUF	IN302404	29/11/2019	Captured	
AI000154	For Individuals/HUF	IN302404	28/11/2019	Captured	
AI000153	For Individuals/HUF	IN302404	28/11/2019	Captured	
AI000152	For Individuals/HUF	IN302404	28/11/2019	Captured	
AI000150	For Non-Individuals (including LLP)	IN302404	26/11/2019	Captured	
AI000131	For Individuals/HUF	IN000019		Captured	
AI000115	For Individuals/HUF	IN302404		Captured	
AI000114	For Individuals/HUF	IN302404	19/11/2019	Captured	

On successful review, checker user will approve the AI application by clicking on 'Verify Release' button. Once request is Verify Released by the checker user, the selected client is permitted for Accredited Investor.

If the checker user wishes to reject the submitted application, the same can be done by clicking on 'Reject' button. In addition, checker user can also return the application to Maker user by clicking on 'Return to Maker' button for executing any changes in the application.

We wish to inform you that we are in the process of incorporating the flag viz., Accreditation Investor under client modification module in NSDL DPM system. Wherein, Participants will be able to tag existing clients as Accreditation Investor.