

Appendix I

Self-declaration from the main individual promoter of the promoter group

The applicant's name:

S. No	Aspect	Remarks
1.	Name of the main individual promoter (including previous names, if any) ¹	
2.	Details of bio-data	Form 1
3.	Proposed shareholding amount and percentage of shareholding in the bank	
4.	Net worth of the main individual promoter (duly certified by a CA)	
5.	Average income over last 5 years	
6.	Source of funds for the proposed shareholding in the bank (Duly certified by the Chartered Accountant)	
7.	Name of the Hindu Undivided Family (HUF) in which the main individual promoter is a member/karta along with its proposed shareholding in the bank (in Rs. and %)	
8.	List of entities in which the HUF is holding 10% or more of the equity share capital along with the percentage of shareholding	Form II
1.	List of relatives of the main individual promoter with relationship (Refer Section 2 (77) of the Companies Act, 2013 and Rules made there under) and their proposed shareholding / voting rights in the bank	Form III

¹ If there are more than one individual promoter in the group, separate declaration forms are to be submitted

2.	List of persons acting in concert (as defined in explanation1(a) to section 12 B of Banking Regulation Act, 1949) with the main individual promoter and their proposed shareholding / voting rights in the bank	Form IV
3.	List of associate enterprises (as defined in explanation1(c) to section 12 B of Banking Regulation Act, 1949) and their proposed shareholding / voting rights in the bank	Form V
4.	List of entities in which the main individual promoter is holding 10% or more of the capital of such entities and their proposed shareholding / voting rights in the bank	Form VI
5.	List of entities, if any, in which the main individual promoter is considered as being interested [Refer Section 184 of Companies Act, 2013] and their proposed shareholding / voting rights in the bank	Form VII
6.	List of entities in which the entities named in 1, 7 to 13 above collectively are holding 10% or more of the equity share capital of that entity	Form VIII
7.	List of entities in which persons / entities named in 1, 7 to 14 above have individually or collectively divested their shareholding in the past 5 years	Form IX
8.	Aggregate proposed shareholding of the entities named in 1 & 7 to 15 above in the bank (Rs. and %)	
9.	Source of funds for the entities named in 1 & 7 to 15 above for the proposed aggregate shareholding in the bank (Duly certified by the Chartered Accountant)	
10.	In case of having voting rights alone in the bank, the details of agreement with the shareholder in brief	
11.	If the person / entity listed in 1 & 7 to 15 above is a member of a professional association / body, details of disciplinary action, if any, pending or commenced or resulting in conviction in the past against him / her or whether he / she has been banned from entry of at any profession / occupation at any time	
12.	Has the person / entity listed in 1 & 7 to 15 above been subject to any investigation at the instance of Government department or agency?	
13.	Details of prosecution, if any, pending or commenced or resulting in conviction in the past against person / entity listed in 1 & 7 to 15 above for violation of economic laws and regulations	
14.	Details of criminal prosecution, if any, pending or commenced or resulting in conviction in the past against the person / entity listed in 1 & 7 to 15 above	
15.	Has the person / entity listed in 1 & 7 to 15 above at any time been found guilty of violation of rules / regulations / legislative requirements by customs / excise / income tax / foreign exchange / other revenue authorities, if so give particulars	

16.	Whether the person / entity listed in 1 & 7 to 15 above has at any time come to the adverse notice of any regulator/investigative agency including issuance of Show Cause Notice. (Though it shall not be necessary for a person to mention in the column about orders and findings made by regulators which have been later on reversed / set aside in toto, it would be necessary to make a mention of the same, in case the reversal / setting aside is on technical reasons like limitation or lack of jurisdiction, etc., and not on merit. If the order of the regulator is temporarily stayed and the appellate / court proceedings are pending, the same also should be mentioned).	
17.	Whether the person / entity listed in 1 & 7 to 15 above has been convicted for any offence under any legislation designed to protect members of the public from financial loss due to dishonesty, incompetence or malpractice.	
18.	Details of shareholding / voting rights of the person / entity listed 1 & 7 to 15 above in other banks and other institutions in the financial sector	
19.	Details of representation of the individual promoter on the Boards of other banks and other institutions in the financial sector	
20.	Income Tax returns of the individual promoter for last three years (if already submitted with the application, the same may be mentioned)	
21.	List of major entities listed in 7 to 15 above (covering at least 50% of the group's total assets or total revenue)	
22.	Audited annual reports of the entities listed in 29 above should be submitted for the last five years (if already submitted with the application, the same may be mentioned)	
23.	Any other explanation / information	

Undertaking

I confirm that the above information is to the best of my knowledge and belief, true and complete. I undertake to keep the bank fully informed, as soon as possible, of all events which take place subsequent to submission of this declaration which are relevant to the information provided above.

Signature and stamp of the individual promoter

Place:

Date :