# COMMON APPLICATION FORM Application No.:



	Sub Broker / Agent ARN Code	Sub Agent Code	EUIN*	Internal Code for Sub-Agent/Employee	ISC Date Time Stamp Reference No.
Declaration for "Execution Only" Transaction (where has been intentionally left blank by me/us as this advice of in-appropriateness, if any, provided by the	e Employee Unique Identification Nu transaction is executed without any employee/relationship manager/sal	Imber-EUIN* box is left blank) interaction or advice by the eles person of the distributor/sub	Please refer instruction 12 mployee/relationship mana broker.	of KIM for complete details on EUI iger/sales person of the above dist	N. I/We hereby confirm that the EUIN bo tributor/sub broker or notwithstanding th
Signature of 1 <sup>st</sup> Applicant / Guard	fian /	Signature of 2 <sup>nd</sup> Applicant /	/ Guardian /	Signature of 3	8 <sup>st</sup> Applicant / Guardian /
Authorised Signatory /PoA/Kar  Please   Lumpsum Investment	rta	Authorised Signatory  Micro Application	/ /PoA	Authoris	ed Signatory /PoA Application
TRANSACTION CHARGES (Please (	-			3.i. <i>i</i>	фриодион
☐ IAMA FIRST TIME INVESTOR IN MUTU Applicable transaction charges will be deduct Distributor) based on the investor's assessme		OR opted for such charges. Upfr he services rendered by the	_	EXISTING INVESTOR IN MUT e paid directly by the investor to	
1. EXISTING UNIT HOLDER INFORM	MATION [Please fill in your	Folio Number, KIN, Sec CKYC Identification		Section 7 - Investment De	tails]
2. APPLICANT(S) NAME AND INFOR	RMATION [Refer Instruction	1 2] If the 1 <sup>st</sup> / Sole Appl	icant is Minor, then	please provide details of r	natural / legal guardian
CKYC ID No. (KIN)			Pls indic		for tax purpose / Resident of Canad lo⁵(\$Default if not <b>√)</b>
<b>GUARDIAN</b> (In case 1 <sup>st</sup> Applicant is a Mi Mr. / Ms. / M/s.	inor)				ip with Minor (Please ✓)  ) Father
GUARDIAN CKYC D No. (KIN)			KYC (Please ✓)  ○ Proof Attached	GUARDIAN PAN	
POA / Custodian Name:				KY	C (Please ✓) ○ Proof Attache
POA / Custodian CKYC ID No. (KIN)			PC	OA / Custodian PAN	
Contact Person for Corporate Investor	r: Name			Designation:	
3. FIRST APPLICANT AND KYC DE	TAILS				
st SOLE APPLICANT O Individual or	· O Non-Individual [Please	fill Ultimate Beneficial O	wnership (UBO) Dec	aration Form in section 11a	& 11b - Refer Instruction No. 17
Date of Birth/Incorporation (Non-individual)	M Y Y Y Y Proc	of of Date of Birth (Pleas (For minor applicant)		_	School Leaving Certificate / Mark She Others (Please specify)
Place of Birth /	Country of Birth / Incorporation:	Na	tionality:	Gender	○ Male ○ Female ○ Oth
<u> </u>	<u> </u>	<u> </u>			
Type: Resident Individual Sole	Prop O NRI - NRE	Trust	○ FIIs ○ PIO	○ Society/AOP/BOI ○ N	/linor thru Guardian
Type:	rivate Company O Public Ltd. C	company Artificial Juridic		nip Firm O FOF - MF Schemes	
HUF ○ LLP ○ Listed Company ○ Pr  *. Occupation Details [Please tick ( ✓ )]	rivate Company Public Ltd. C Private Sector Business	ompany Artificial Juridic Public Sector Retired	ial Person O Partners O Government Service	nip Firm O FOF - MF Schemes  See O Student ( O Proprietorship (	s Others (Please specify)  Professional Housewi
HUF ○ LLP ○ Listed Company ○ Pr  *. Occupation Details [Please tick (✓)]  *. Gross Annual Income (₹) [Please tick	rivate Company ○ Public Ltd. C  ○ Private Sector ○ Business  ck ( ✓ )] ○ Below 1 Lakh	Ompany Artificial Juridic  Public Sector Retired  1-5 Lakh	ial Person	prip Firm  FOF - MF Schemes  See  Student  (  Proprietorship (  10-25 Lakh (	S Others (Please specify)  Professional Housewi Others (Please specify)  >25 Lakh > 1 Crore
HUF O LLP O Listed Company O Pr	rivate Company ○ Public Ltd. C  Private Sector ○ Business ck (✓)] ○ Below 1 Lakh s (Also applicable for authorised	Ompany Artificial Juridic  Public Sector Retired  1-5 Lakh	ial Person	prip Firm  FOF - MF Schemes  See  Student  (  Proprietorship (  10-25 Lakh (	S Others (Please specify)  Professional Housewi Others (Please specify)  > 25 Lakh > 1 Crore om Related to PEP Not Applica
HUF ☐ LLP ☐ Listed Company ☐ Pr  *. Occupation Details [Please tick (✓)]  *. Gross Annual Income (₹) [Please tick  *. Politically Exposed Person (PEP) Status  *. Net-worth (Mandatory for Non-Indiv	rivate Company ○ Public Ltd. C  Private Sector ○ Business ck ( ✓ )] ○ Below 1 Lakh s (Also applicable for authorised riduals) ₹  providing ○ Foreign B	ompany Artificial Juridic Public Sector Retired 1-5 Lakh signatories/Promoters/Karta	ial Person	inip Firm  FOF - MF Schemes  See  Student  (  Proprietorship (  10-25 Lakh (  irectors)  Iam PEP  Iam  D  M  M  Y  Y  Gaming/Gambling/Lottery/	Others (Please specify)  Professional Housewi Others (Please specify)  >25 Lakh >1 Cron m Related to PEP Not Applica
HUF ☐ LLP ☐ Listed Company ☐ Property.  A*. Occupation Details [Please tick (✓)]  A*. Gross Annual Income (₹) [Please ticks.  A*. Politically Exposed Person (PEP) Status  A*. Net-worth (Mandatory for Non-Individual Investors involved/grains)	rivate Company	ompany Artificial Juridic Public Sector Retired 1-5 Lakh signatories/Promoters/Karta	ial Person	inip Firm  FOF - MF Schemes  See  Student  (  Proprietorship (  10-25 Lakh (  irectors)  Iam PEP  Ia	Others (Please specify)  Professional Housewi Others (Please specify)  >25 Lakh >1 Cron m Related to PEP Not Applica
*. Occupation Details [Please tick (✓)]  *. Gross Annual Income (₹) [Please tick  *. Politically Exposed Person (PEP) Status  *. Net-worth (Mandatory for Non-Individual Investors involved/gany of the mentioned services	rivate Company	ompany Artificial Juridic Public Sector Retired 1-5 Lakh signatories/Promoters/Karta	ial Person	inip Firm  FOF - MF Schemes  See  Student  (  Proprietorship (  10-25 Lakh (  irectors)  Iam PEP  Iam  D  M  M  Y  Y  Gaming/Gambling/Lottery/	Others (Please specify)  Professional Housewi Others (Please specify)  >25 Lakh >1 Cron m Related to PEP Not Applica
*. Occupation Details [Please tick (✓)]  *. Gross Annual Income (₹) [Please tick  *. Politically Exposed Person (PEP) Status  *. Net-worth (Mandatory for Non-Indiv  *. Non-Individual Investors involved/gany of the mentioned services  4. BANK ACCOUNT DETAILS - Man	rivate Company	ompany Artificial Juridic Public Sector Retired 1-5 Lakh signatories/Promoters/Karta	ial Person	inip Firm FOF - MF Schemes  Se Student Proprietorship (  10-25 Lakh Interestors) I am PEP I a  D M M Y Y  Gaming/Gambling/Lottery/  None of the above	Others (Please specify)  Professional Housewi Others (Please specify)  >25 Lakh >1 Crore om Related to PEP Not Applica
*. Occupation Details [Please tick (✓)]  *. Gross Annual Income (₹) [Please tick  *. Politically Exposed Person (PEP) Status  *. Net-worth (Mandatory for Non-Indiv  *. Non-Individual Investors involved/gany of the mentioned services  4. BANK ACCOUNT DETAILS - Mandame of the Bank:	rivate Company ○ Public Ltd. C  Private Sector Business  ck (✓)] ○ Below 1 Lakh  (Also applicable for authorised riduals) ₹  providing ○ Foreign B	ompany Artificial Juridic Public Sector Retired 1-5 Lakh signatories/Promoters/Karta	Government Service Agriculture 5-10 Lakh a/Trustee/Whole time D as on ger Services	inip Firm FOF - MF Schemes  Se Student Proprietorship (  10-25 Lakh Interestors) I am PEP I a  D M M Y Y  Gaming/Gambling/Lottery/  None of the above	Others (Please specify)  Professional Housewi Others (Please specify)  > 25 Lakh > 1 Cron Im Related to PEP Not Applica  Y Y (Not older than 1 ye Casino Services
*. Occupation Details [Please tick (✓)]  *. Gross Annual Income (₹) [Please tick  *. Politically Exposed Person (PEP) Status  *. Net-worth (Mandatory for Non-Indiv  *. Non-Individual Investors involved/gany of the mentioned services  4. BANK ACCOUNT DETAILS - Mandame of the Bank:  Core Banking A/c No.	rivate Company ○ Public Ltd. C  Private Sector Business  k (✓)] ○ Below 1 Lakh  (Also applicable for authorised riduals) ₹  providing ○ Foreign B ○ Money Lundatory [Refer Instruction I	ompany Artificial Juridic Public Sector Retired 1-5 Lakh signatories/Promoters/Karta  Exchange / Money Changending / Pawning Nos. 3 & 4]	Government Service Agriculture 5-10 Lakh a/Trustee/Whole time D as on ger Services	inip Firm FOF - MF Schemes  Se Student Proprietorship (  10-25 Lakh Interestors) I am PEP I a  D M M Y Y  Gaming/Gambling/Lottery/  None of the above	Professional Housew Others (Please specify) > Professional Housew Others (Please specify) > >25 Lakh > 1 Cron Im Related to PEP Not Applica Y Y (Not older than 1 ye Casino Services  URRENT SAVINGS NE

5. JOINT APPLICANTS, IF ANY AND	THEIR KYC DI	ETAILS					
Mode of Holding: O Anyone or Sur	rvivor	○ Single	:	○ Joint	(	Please note that the	ne Default option is Anyone or Survivor)
2 <sup>nd</sup> APPLICANT Mr. / Ms. / M/s. (Not A	Applicable in case	of Minor Applicant)				(	Gender O Male O Female O Other
PAN Details		PI	s indicate if US Pe	erson or a resid	dent for tax purpos	se / Resident of Can	ada ○ Yes ○ No* (*Default if not 🗸)
CKYC ID No. (KIN)				KYC Pls 🗸	O Proof Attac	ched Date of E	Birth (Mandatory)
Place of Birth		Country of Birth				Nationality:	
a*. Occupation Details [Please tick (✓)	)]		Public Sector Retired	Gover	nment Service	<ul><li>Student</li><li>Proprietorsh</li></ul>	<ul> <li>○ Professional ○ Housewife</li> <li>ip ○ Others (Please specify)</li> </ul>
b*. Gross Annual Income (₹) [Please tic	ck ( <b>√</b> )] ○ B	elow 1 Lakh	) 1-5 Lakh	O 5-10 L	akh	O 10-25 Lakh	○ >25 Lakh ○ > 1 Crore
c*. Politically Exposed Person (PEP) Status	S O I am PEF	_		Not Applicable			
d. Net-worth ₹			as on DDD	M M	/ Y Y Y	(Not older than 1	year)
Mode of Holding:	rvivor	○ Single	•	○ Joint	(	Please note that the	ne Default option is Anyone or Survivor)
3 <sup>rd</sup> APPLICANT Mr. / Ms. / M/s. (Not A	pplicable in case	of Minor Applicant)				(	Gender O Male O Female O Other
PAN Details		PI	s indicate if US Pe	erson or a resid	dent for tax purpos	se / Resident of Can	ada ○ Yes ○ No* (*Default if not 🗸)
CKYC ID No. (KIN)				KYC Pls 🗸	O Proof Attac	ched Date of E	Birth (Mandatory)
Place of Birth		Country of Birth				Nationality:	
a*. Occupation Details [Please tick (✓)	)]		Public Sector	Gover	nment Service	<ul><li>Student</li><li>Proprietorsh</li></ul>	Professional Housewife  Others (Please specify)
b*. Gross Annual Income (₹) [Please tic	ck ( <b>√</b> )] ○ B	elow 1 Lakh	) 1-5 Lakh	O 5-10 L	.akh	O 10-25 Lakh	○ >25 Lakh ○ > 1 Crore
c*. Politically Exposed Person (PEP) Status	s O I am PEF	O I am Relate	ed to PEP	Not Applicable			
d. Net-worth ₹			as on DD	M M	YYYY	(Not older than 1	year)
6a. MAILING ADDRESS [Please prov	vide your E-mai	I ID and Mobile I	Number to help	us serve yo	u better]		
Local Address of 1 <sup>st</sup> Applicant							
		City		St	ate		Pin Code
Tel. Off.			Resi.			Mobile	
E - Mail^^							
^^Please Use Block Letters. Investors prov 6b. Mandatory for NRI / FII Applicant		•					
Overseas Correspondence Address _	it [i loudo provi	ao i an Address.	T. O. DOX NO.	nay not be c		vorodao investor	o, maian radicee ie preferred
7. INVESTMENT AND PAYMENT DE	ETAILS ( For co	mplete informat	ion on Investm	ent Details p	lease refer to I	nstructions No. 6	i.)
Scheme	·	O F	Regular Plan			Dividend* Payout ⊜ Reir	Oiv frequency*
Payment Type [Please (√)] ○ S	Self (Non-Third	Party Payment)	Oirect Plan  O Third F		, , ,		ment Declaration Form')
Cheque / DD / UTR No. & Date	Amount of Che	eque / DD /	DD Charge if any		Net Purchase Amount	Drawn o Bra	n Bank / Pay-In Bank A/c No.
*Dividend frequency is applicable only fo							
8. DEMAT ACCOUNT DETAILS - Mandator National Securities Depository Li			ensure that the se			under section 3 mate rvices (India) L	
DP Name				DP Name			
DP ID I N	Benef. A/C No.			16 Digit A/C I	No.		
	Client Masters Li				ding Statement	0	Delivery Instruction Slip (DIS)
9. NOMINATION DETAILS [Minor / F  PLEASE REGISTER MY/OUR NOMI						lo. 9] VISH TO NOMINA	TE
No. Nominee(s) Name	Date of		Name of the (in case of		Relationship	% of Share	Signature of Nominee / Guardian
1	D D M M	YYYY	·	·			
2							
4							

# FOR NON-INDIVIDUALS ONLY

10. F	ATCA & CRS DETAIL	S (Please consult your բ	orofession	nal tax	advisor for furth	er guidance on	FATCA & C	CRS cla	assification)		
PART	A To be filled by Fina	ancial Institutions or Dir	ect Repor	ting No	on Finacial Entity	y (NFEs)					
We are Financi or	e a, sial institution	Note: If you do not have a GIII	N but you are sp	oonsored by	another entity, please prov	vide your sponsor's GIIN at	pove and indicate	your spons	sor's name below		
Direct	reporting NFE ○ e tick ( ✓ )]	Name of sponsoring er	ntity:								
GIIN n	ot available [Please ti	<b>ck</b> (✓)]	l for	○ No	t required to apply fo	or - please specify 2	digits sub-ca	itegory		O Not obtained -	- Non-participating I
PART	B (please fill any one	e as appropriate "to be f	filled by N	FEs otl	her than Direct F	Reporting NFEs"	')				
1		ly traded company whose shares are regular shed securities market)	ly		es (If yes, please sp of stock exchange:					•	
2		d entity of a publicly company whose shares al an established securities r		Name Natur	e of listed company: _ e of relation  Sul	bsidiary of the Listed					regularly traded)
3	Is the Entity an activ	re NFE			e of stock exchange: es (If yes, please fill		the next sec	ction.)			
	,			Natur	e of Business:						
				Pleas	e specify the sub-car	tegory of Active NFE		Mention	code: Refer instru	ction 16(c)	
4	Is the Entity a passiv	ve NFE			es (If yes, please fill	I UBO declaration in	the next sec	ction.)			
					e of Business: details refer ins	turetien No. 46					
11a.	DECLARATION FOR L	JLTIMATE BENEFICIAL (	OWNERS								
*This ded	claration is not needed for Co	mpanies that are listed on any re	ecognized sto	ock excha	nge or is a Subsidiary	of such Listed Comp	any or is Con	trolled by	such Listed Compar	ny. Please list below th	ne details of controlling
		If tax residency / permanent resi quired details as mentioned in Fo			id ALL Tax Identification	on Numbers for EACI	H controlling p	person(s).	. Owner-documented	I FFI's should provide	FFI Owner Reporting
11b.		TE BENEFICIAL OWNER			1	ce below is not	adequate,	please			
	Name of UBO & Address	Address Type <sup>ss</sup>	PAN/Tax Identificat Equivalent	ion No./	Document Type Refer instruction No. 16(d)	Country of tax Residency/ permanent residency*	Country		UBO Code (Mandatory)	KYC (Yes / NO) [please attach the KYC acknowledgement copy]	% of beneficial interest
information that appli information	on is not provided, it will be pre cant has concealed the facts o on as may be required at your	siness (default)/Residential/Bu ssumed that applicant is the UBO, of bene cial ownership. I/We also end. w additional details. (Please at	, with no decla undertake to l	aration to s keep you i	submit. In such case, N informed in writing abo	MAMF/AMC reserves t ut any changes/modi o	he right to reje cation to the at	ect the app bove infor	olication or reverse the mation in future and a	e allotment of units, if s also undertake to provi	subsequently it is found de any other additiona
Election I	Any other Identification D, Govt. ID, Driving Licence NREG. f Birth - Country of Birt		Nation	nality:	ype: Service, Busine: Mandatory if PAN				Date of Birth r: Male, Female, 0	Other	
, ,	l: of Birth: ntry of Birth:		Nation	oation Ty nality: r's Name					f Birth: r	Female Othe	ır
_	l: of Birth: ntry of Birth:		Nation	oation Ty nality: r's Name					f Birth: r	Female Othe	ır
_	l: of Birth: ntry of Birth:		Nation	oation Ty nality: r's Name					f Birth:	Female Othe	er
# Addition	onal details to be filled by c	ontrolling persons with tax res person is a US citizen or greer r is not available, kindly provid	idency / perr	manent r	esidency / citizenshi	p / Green Card in ar	ny country ot	her than	India.		
		from Mr. / Ms. / M/s.									mpsum 'OR' () SIF
ENT		ne Name and Plan			Payr	nent Details			Date & Stam	p of Collection	
OWLEDGMENT SLIP					unt (Rs.) que / DD No.:						

Bank & Branch \_

FOR INDIVIDUALS: Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

Do you have any non-inclain									
Country of Birth / International	1 <sup>st</sup> Applicant (Sole / Guardian / Non-Individual)		uardian / Non-Individual)		pplicant	3 <sup>rd</sup> Applicant			
Country Citizenship   Nationality   Nation	Country(ies) of Birth Citizenship / Nationa	1/	○ Yes ○ No	Country(ies) of Birth Citizenship / Nation	n /	○ Yes ○ No	Country(ies) of Birth / Citizenship / Nationality		○ Yes ○ No
Nationality Nation			Country of Birth			Country of Birth			
Please provide Tax Payer Id.  Please		I			1			1	
Individual investors have to fill in below details in case of joint applicants    Country:	marram2						fied		
Individual investors have to fill in below details in case of joint applicants    Country:	For non-Individual inv	estor in ca	ase. if you country of incorporation /	Tax resistance in US. b	out vou are	not a specified US person then ple	ase mention exemption	code	(Refer instruction 16(e))
Tax Residency Status: 1 Type:  Country: Country: Tax Residency Status: 2 Type:	Individual or Non-In		* * * * * * * * * * * * * * * * * * * *				· ·		(*18.8.1.18.8.8.8.1.1.18(8))
Status: 1 Type:  Country:  Country: Tax Residency Status: 2 Type:		Country	y:		Countr	у:		Country	y:
Country:  Tax Residency Status: 2  Type:  Country:  Tax Residency Status: 2  Type:  Country:  Country:  Tax Residency Status: 3  Type:  Country:  Tax Residency Status: 3  No.:  Type:  Country:  Tax Residency Status: 3  No.:  Type:  Tax Residency Status: 3  No.:  Type:  Address Type  Address Type  Address Type:  Residential or Business (default) / Residential / Business / Registered Office) (For address mentioned in form / existing address appearing in folio)  To rease of applications with POA. the POA holder should fill separate form to provide the above details mendatorly.  13. DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(s) (Refer Instructions 2(e))  To the Transaca. Nine Assat Material Fred (The Fund - (a)) invergrence and understood of the societies of the pool of		No.:			No.:			No.:	
Tax Residency Status: 2  Type:  Type:  Country:  Tax Residency Status: 3  Type:  Type:  Tax Residency Status: 3  Type:  Address Type  Address Type  Address Type  Address Type  Address Type:  Address		Type:			Туре:			Туре:	
Status: 2 No: Status: 2 No: Type: Ty		Country	y:		Countr	y:		Country:	
Country:  Tax Residency Status: 3  Type:  Type:  Address Type  Address Type  Address Type  Address Type:  Addre				No.:			No.:		
Tax Residency Status: 3  Type:  Address Type  Address Type:  Address Type: Residential or Business (default) / Residential / Business / Registered Office) (For address mentioned in form / existing address appearing in folio)  In case of applications with POA, the POA holder should fill separate form to provide the above details mandatorily.  13. DECLARATION AND SIGNATURES / THUMBI IMPRESSION OF APPLICANT(s) (Refer Instructions 2 (e))  16. The Trustes, Mirra Asset Mutual Fund (The Fund) – (A) Having read and understood the contents of the SDO of the Scheme(s), IWN hereby apply for units of the scheme (s) and agree to abide by the terms, conditions, rules and regulations governing the scheme.  (B) (Whe heetly declare that the amount invented in the scheme (s) in the provisions of the Income Tax Act, Arith Money Laundering Laws or any other applicable law ended by the Certain of the SDO of the Scheme (s), IWN hereby apply for units of the scheme (s) and agree to abide by the terms, conditions, rules and regulations governing the scheme.  (B) (Whe heetly declare that the amount invented in the scheme (s) is through legitimate source only and does not involve and in ordinary apply for units of the scheme (s) and agree to abide by the terms, conditions, rules and regulations governing the scheme (s) and agree to abide by the terms, conditions, rules and regulations governing the scheme (s) and serve the contraction of any provisions of the Income Tax Act, Arith Money Laundering Laws or any other applicable to the contraction of the		Type:		Туре:				Туре:	
Address Type  Address Type:  Address		Country	у:		Countr	у:		Country	y:
Address Type Address Type Address Type  (Address Type: Residential or Business (default) / Residential / Business / Registered Office) (For address mentioned in form / existing address appearing in folio)  In case of applications with POA, the POA holder should fill separate form to provide the above details mandatorily.  13. DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(s) [Refer Instructions 2(e)]  16 The Trustees, Mirae Asset Mutual Fund (The Fund)—(A) Having read and understood the contents of the SID of the Scheme(s), liWh hereby apply for units of the scheme(s) and agree to abide by the terms, conditions, rules and regulations governing the scheme (B) liWhe nereby declare that the amount invested in the scheme(s) is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any provisions of the Income Tax Ad, Anti Money Laundering Laws or any other purposes to furnish additional information sought by Mirae Asset (Bobal Investments (India) Limited (AMO)? Fund and undertake to update the information inferential to the terms of the scheme in the AMOF-und shall have the right to share my information and derive details with the regulatory and operation of my lour transactions, (E) liWe further declare that "The ARN holder has disclosed to make all the commissions (in the form of trail commission or any other model), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to meius. (F) IWW hereby confirm that IWW have not not enable to the New York of the scheme is being recommended to meius. (F) IWW hereby confirm that IWW have not not enable to the New York of the scheme is being recommended to meius. (F) IWW hereby confirm that IWW have not not enable to the New York of the scheme is being recommended to meius. (F) IWW hereby confirm that IWW have not been offered communicated any indicate profition and or any indicative yield by the "und AMOTION that Have have the scheme		No.:			No.:			No.:	
(Address Type: Residential or Business (default) / Residential / Business / Registered Office) (For address mentioned in form / existing address appearing in folio)  In case of applications with POA, the POA holder should fill separate form to provide the above details mandatorily.  13. DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(s) [Refer Instructions 2(e)]  16. The Trustees, Mirae Asset Mutual Fund (The Fund) – (A) Having read and understood the contents of the SiD of the Scheme(s), living of the Scheme(s) and agree to abide by the terms, conditions, rules and regulations governing the scheme splicable laws enacted by the Government of India from time to time, (C) Signature of the norm of the soft of the purpose of the contravention of any provisions of the Income Tax Act, And Money Laundering Laws or any other applicable laws enacted by the Government of India from time to time, (C) Signature of the normine acknowledging receipts of mylour credit will constitute full discharge of liabilities of Mirea Asset Mutual Fund. (I) The Information supplies in Mirea Asset (Solia Illumest Amoly Cine Junied (AMC)* Fund the adoptional information supplies in Mirea Asset (Mutual Fund in Solia Mirea Asset (Solia Illumest Amoly Cine Junied (AMC)* Fund the information supplies and Transfer Agent (Rich Rich Transfer Agent (Rich Rich Rich Rich Rich Rich Rich Rich		Type:		Type:				Type:	
In case of applications with POA, the POA holder should fill separate form to provide the above details mandatority.  13. DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(s) [Refer Instructions 2(e)]  16. The Trustees, Mirae Asset Mutual Fund (The Fund) – (A) Having read and understood the contents of the SIO of the Scheme(s), Mive hereby apply for units of the scheme(s) and agree to abide by the terms, conditions, rules and regulations governing the scheme B) IWNe hereby declare that the amount invested in the scheme(s) is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any provisions of the Income Tax Act. And Money Laundering Laws or any other applicable laws enacted by the Government of India from time to time. (c) Signature of the nonlinea acknowledging receipts of mylour credit will constitute full discharge of liabilities of Mirae Asset Mutual Fund. (D) The information given in / with this application form is rue and correct and further agrees to furnish additional information sought by Mirae Asset Clobel Investments (India). United (AMC) Fruid and undertake to update the information/delails with the AMC/Fund/Registras and Transfer Agent (RTA) from time to time. We have read undertake to update the information/delails with the AMC/Fund/Registras and Transfer Agent (RTA) from time to time. We have read undertake to update the information information and undertake to update the information delails with the AMC/Fund/Registras and Transfer Agent (RTA) from time to time. We have read undertake to update the information information and undertake to update the information delails with the AMC/Fund/Registras and Transfer Agent (RTA) from time to time. We have read undertake the undertaken to a subject the same of the contravent of the properties of the same information and undertaken to the subject to a subject to a subject to the same information and undertaken to make the properties of the subject to a subject to a subject to a subject	Address Type			Address Type		Address Type			
13. DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(s) [Refer Instructions 2(e)]  To The Trustess, Mirea Asset Mutual Fund (The Fund) – (A) Having read and understood the contents of the SID of the Scheme(s), IWe hereby apply for units of the scheme(s) and agree to abide by the terms, conditions, rules and regulations governing the scheme (B) IWe hereby declare that the amount invested in the scheme(s) is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any provisions of the Income Tax Act, Anti Money Laundering Laws or any other applicable laws enacted by the Government of India from time to time. (C) Singulature of the nomines acknowledging receipts of myliour credit will constitute full discharge of liabilities of Mirae Asset Mutual Fund. (D) The information given in / with its application form it and ordered in Information and other declare that "The Anti-Nolder internations in Composition of University of Purind Regulators and Transfer Agent (RTA) from time to time. I'We nereby confirm that the AMC/Fund shall have the right to share my information and other details with the Purpose of the contravention of the PIN agreement available on the Anti-Net declare that "The ARTh Nolder was disclosed to melvas 11 the commission or any other mode), payable to him for the deflerent prompeting Schemes of various Mutual Funds from amongst which the Scheme is being recommended to melvas. (F) IWWe hereby confirm that IWWe have not been offered/ communicated any indicative portfolio and/or any indicative yield by the foliations of the PIN agreement available on the AMC website for transacting online. (H) RIA-: IWwe hereby permit the AMC to share mylour current & historic transaction details to the Registered Investment Advisor (RIA), if any transactions are aried out using the RIA-code. (I) Applicated to Foreign Resident's RIA-code and shall be contravent and other applicable to Foreign Resident's Peak and other applicable to Foreign Resident's Pea	· ·	• • •					oned in form / existing	address	appearing in folio)
To The Trustees, Mirae Asset Mutual Fund (The Fund) – (A) Having read and understood the contents of the SID of the Scheme(s), IWe hereby declare that the amount invested in the scheme(s) is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any provisions of the Income Tax Act, Anti Money Laundering Laws or any other applicable laws exact and further agrees to furnish additional information sought by Mirae Asset Global Investments (India) Limited (AMC)F und and undertake to update the information/details with the AMC Fund/Registrars and Transfer Agent (RTA) from time to time. I/We neerby confirm that the AMC/Fund shall have the right to share my information and other details with the regulatory and government authorities as and when needed. I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute egarding the eligibility, validity and authorization of mylour transactions. (E) IWe further declare that "The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to melus. (F) IWe hereby confirm that IWe have not been offered communicated any indicative portfolio and/ or any indicative yield by the Fund/AMC/fits distributor for this investment. IWe have not exceed not have been induced by any rebate or grifts, directly or indirectly in making this investment. (G) Applicable to Investors availing the online facility: —Whe have read, understood and shall be ound by the terms & conditions of the PIN agreement available on the AMC website for transacting online. (H) RIA:- IWe hereby permit the AMC to share mylour current & historic transaction details to the Registered Investment Advisor (RIA), if any transactions are arrived out using the RIA code, (I) Applicable to Investors availing the output and are allowed to invest in the INVEST ACK of S	n case of applications v	with POA,	the POA holder should fill separate	form to provide the abo	ve details	mandatorily.			
Authorized Signature (12 Applicant / Guardian / Signature 012 Applicant / Guardian / Signature 013 Applicant / Guardian /	To The Trustees, Mirae Asse (B) I/We hereby declare that it applicable laws enacted by the ruse and correct and further agnereby confirm that the AMC/regarding the eligibility, validit competing Schemes of varium of the schemes of varium of the scheme as per the sain totting the the AMC/regarding the eligibility and the Scheme as per the sain otify the AMC, in which evenereby confirm that the inform provided, it will be presumed it applicant has concealed the fa	t Mutual Fur he amount in e Governmer rees to furnis Fund shall hy y and autho ous Mutual this invest his of the PIN (I) Applicat d FEMA regu nt the AMC and applicant cts of benefii	nd (The Fund) – (A) Having read and understonvested in the scheme(s) is through legitimate nt of India from time to time. (C) Signature of It is additional information sought by Mirae Asseave the right to share my information and oth rization of my/our transactions. (E) I/We furth Funds from amongst which the Scheme is ment. I/We have not received nor have been it agreement available on the AMC website for ole to Foreign Resident's Residing in India: lalations and other applicable laws and regulativeserves the right to redeem my / our invesed by me / us on this Form is true, correct, an is the ultimate beneficial ownership. I/We also undertake to keep yc	od the contents of the SID of the sources only and does not in the nominee acknowledging rect Global Investments (India) Lier details with the regulatory and the declare that "The ARN ho is being recommended to menduced by any rebate or gifts, transacting online. (H) RIA:- If I/We confirm that I we satisfy limits in the Scheme(s). (K) domplete. If I/We also confirm that lartments in the Scheme(s). (K) domplete. If I/We also confirm that lartments in the Scheme(s). (K) domplete. If I/We also confirm that I artments in the Scheme(s). (K) domplete. If I/We also confirm that I artments in the Scheme(s) are uninformed in writing about any	ne Scheme(s vvolve and is beipts of my/ mited (AMC) dider has dis blus. (F) I/W directly or in We hereby p the Resider n. I/We are n p FATCA/CR that I I/We I he concerne	), I/We hereby apply for units of the scheme(s) not designed for the purpose of the contraver our credit will constitute full discharge of liability. Fund and undertake to update the information at authorities as and when needed. I/We will sclosed to me/us all the commissions (in the hereby confirm that I/We have not been directly in making this investment. (G) Applicate mit the AMC to share my/our current & history test as prescribed under FEMA provisions. Of United States person(s) under the laws on Scertification: I / We have understood the in have read and understood the FATCA& CRS dESI registered intermediary reserves the rigodification to the above information in future & additional contents.	ntion of any provisions of the I lies of Mirae Asset Mutual Fund/details with the AMC / Fund/findeminify the Fund, AMC, Truthe form of trail commission offered / communicated any able to Investors availing the ric transaction details to the R. WWe further declare that I/We ; funited States or resident(s formation requirements of this Terms and Conditions and her pitch to reject the application or r	ncome Tax A d. (D) The info Registrars an ustee, RTA ar n or any oth indicative p e online facil egistered Inv am/are "Pers ) of Canada. Form (read a reby accept the	ct, Anti Money Laundering Laws or any other ormation given in /with this application form is di Transfer Agent (RTA) from time to time. I/We not other intermediaries in case of any dispute re mode), payable to him for the different ortfolio and/or any indicative yield by the lity:- I/We have read, understood and shall be estment Advisor (RIA), if any transactions are on Resident in India" and are allowed to invest In case of change to this status, I/We shall along with the FATCA & CRS Instructions) and he same. In case the above information is not lotment of units, if subsequently it is found that

# **Application No.:**

# Cheque/DD should be Drawn in favour of the Scheme Name

Mirae Asset India Opportunities Fund	Mirae Asset Emerging Bluechip Fund	Mirae Asset Great Consumer Fund
Mirae Asset Prudence Fund	Mirae Asset Tax Saver Fund	Mirae Asset Cash Management Fund
Mirae Asset Savings Fund	Mirae Asset China Advantage Fund	

# SYSTEMATIC INVESTMENT PLAN (SIP) WITH TOP-UP FACILITY

Registration Cum Mandate Form For NACH/Direct Debit

NACH MANDATE INSTRUCTION FORM (Refer Instruction over leaf before (Filling)

	, , , , , , , , , , , , , , , , , , ,	pplication 140		Mutual	Turiu
Name & Broker Code / ARN / RIA Code	Sub Broker / Agent ARN Code	Sub Agent Code	EUIN*	Internal Code for Sub-Agent/Employee	ISC Date Time Stamp Reference No.
Declaration for "Execution Only" Transaction (where has been intentionally left blank by me/us as this tadvice of in-appropriateness, if any, provided by the	Employee Unique Identification Nu	mber-EUIN* box is left blank	x). Please refer instruction 12	2 of KIM for complete details on EUIN	I/We hereby confirm that the EUIN box  ibutor(sub broker or potwithstanding the
advice of in-appropriateness, if any, provided by the	employee/relationship manager/sale	es person of the distributor/s	ub broker.	age//sales person of the above dist	
Signature of 1st Applicant / Guardian / Authorised Sign	natory / PoA / Karta Signatu	re of 2 <sup>nd</sup> Applicant / Guardian /	Authorised Signatory / PoA	Signature of 3 <sup>rd</sup> Applicant / (	Guardian / Authorised Signatory / PoA
Please O Enrollment for New Re	gistration (Please fill all section	ons) OR O Char	nge my/our bank accou	nt for existing SIP(s) OR	○ SIP Top-up Facility
1. EXISTING UNIT HOLDER INFORM			io number mentioned	d will apply for this applicat	ion.)
Folio No. SIP ENROLMENT DETAILS (Pleas		1st Unit Holder	chama applied for IP	lafor Instruction 19 Overland	<del>7</del> 1/
<u> </u>		Regular Plan  ODire			ayout O Dividend Reinvestment
Scheme	,,			. , .	cy*
*Dividend frequency is applicable only for	Mirae Asset Cash Managen	nent Fund & Mirae Ass	et Savings Fund.		
SIP Date Please 🗸 🔾 01 <sup>st</sup> 🔾 10 <sup>th</sup> (D	refault) 0 15 <sup>th</sup> 0 21 <sup>st</sup>	28 <sup>th</sup> SIP Amount	: (₹) ○ 5,000 ○ 10,	,000	er Amount. (₹)
SIP Start Date: M M Y Y Y Y OR Enter	SIP End Date: M M Y Y Y Y				
2a. SIP TOP-UP FACILITY (You can s	tart SIP Top-up facility afte	r minimum 6 months	from 1st SIP) Refer I	nstruction No. 23 on the rev	verse on SIP Top-up
All Applicants have to submit NACH ma	ndate and will need to fill th	e maximum amount i	n line with Top Up am	ount, SIP amount & tenure.	
Гор-up Amount (₹)	(minimum ₹ 500/-	and in multiples of ₹ 1	/- only) To	pp-up Start Date M M	Y Y Y
Frequency Please 🕢 🔘 Half	Yearly (I	Default)	To	pp-up End Date M M	Y Y Y Y
For Existing Investors: Original SIP deta	nils - SIP Date - SIF	Amount (₹)-	Scheme -		
3. SIP PAYMENT DETAILS					
Ba - Only for Existing Investors - I/We value of the Bar - Only for Existing Investors - Please provide			<u> </u>		
<u> </u>			in on details in the i	orm and NAOTI mandate. Of	leque lear enclosed 🔾
First SIP Cheque No.		rawn on Bank	O NIDE (	QUIDDENT	SAVINGS O NRO
Cheque Date  4. BANK ACCOUNT DETAILS (Man		/c. Type	O NRE	CURRENT (	SAVINGS O NRO
/We hereby authorise Mirae Asset Global my/our following Bank A/c. by NACH/ECS					rised service providers to debit
Name of 1 <sup>st</sup> A/c. Holder as in Bank Records	3				
Bank Name		Core Banking A/c. No.			
Branch Name & Address				City	
9 Digit MICR Code	Bar	k Account Type 🕢	○ NRE ○ 0	CURRENT O SAVING	S O NRO
DECLARATION & SIGNATURE: To The Trustees, Mirae Asse I/We also agree that if the transaction is delayed or not effec					
responsible. I/We also undertake to keep sufficient funds in my him for the different competing Schemes of various Mutu	bank account on the date of execution of the al Funds from amongst which the Sche	e said standing instructions. "The me is being recommended to n	ARN holder has disclosed to me	e/us all the commissions (in the form of tra	ail commission or any other mode), payable to
application would result in aggregate investments exceed	ing Rs. 50,000 in a rolling 12 month perio	d or in a financial year".			
Signature of 1st Applicant/Guardian/Authorised Si (AS IN BANK RECORDS)	gnatory/PoA/Karta Signatui				
Tick(✓) <sup>7</sup> UMRN¹	For office use	on y		Date <sup>2</sup> DD MM YYYY	
Create Sponsor Bank Code <sup>3</sup> H	D F C 0 0 0 0	0 6 0	Utility Code <sup>4</sup> N	A C H 0 0 0 0 0 0	0 0 0 0 0 5 1 4 8
Modify / I/We, hereby authorize <sup>5</sup>	Mirae Asset Global Investme	ents (India) Pvt. Ltd.	To Debit (Tick ✓) <sup>6</sup> S	SB / CA / CC / SB	-NRE / SB-NRO / Other
Cancel Bank A/c Number <sup>8</sup>					
Bank Name <sup>®</sup>		IFSC <sup>10</sup>		or MICR <sup>11</sup>	
Amount in words <sup>12</sup>				Amount in Figures <sup>13</sup>	₹
Frequency <sup>14</sup> Mthly Qtly	H-Yrly Yrly	✓ As & when pre	sented Debit 1	Type <sup>15</sup>	Maximum Amount
Ref 1 <sup>16</sup> : Folio No.			Mobile	18	
Ref 2 <sup>17</sup> : Scheme	Thomas for the district	do naconata e el .	Email		stant askedula of decree (50 decree
$Period^{20} \ D \ D \ M \ M \ Y \ Y \ Y \ Y$	i agree for the debit of manda	ne processing charges by	ите рапк wnom i am autho	nzing to debit my accounts as per l	atest schedule of charges of the bank.
From			2	_	
То	Signature of primary acc		Signature of joint acc	count holder	Signature of joint account holder
Or Until cancelled	_		- , , , , , , ,		· · · · · · ·

## General Guidelines

This mandate registration form will be submitted through National Automated Clearing House (NACH)

- This facility is offered to investors having Bank accounts in select banks mentioned in the link http://www.npci.org.in/
  The Banks in the list may be modified/updated/changed/removed at any time in future entirely at the discretion of National Payments Corporation of India (NPCI) without assigning any reasons or prior notice. Standing instructions for investors in such Banks will be discontinued. The investor consents to agree to abide by the terms and conditions of NACH facility of NPCI.
- Please submit the NACH mandate registration form not less than 25 business days before the first installment date. Applicant acknowledges that incomplete forms in any respect will not be processed and shall be rejected.
- Unitholders can opt to invest SIP on monthly or quarterly frequency on the following dates 1st, 10th, 15th, 21st and 28th of each month/first month of the quarter. In case the day specified is a Non-Business Day, the transaction will be effected on the next Business Day.
- Investor/Unitholder(s) should preferably provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones as already existing in the folio, the details provided on the mandate may be updated in the folio. All future communication whatsoever would be, thereafter, may be sent to the updated mobile number and email id.
- Investor/Unitholder(s) should submit original Cancelled Cheque (or a copy) along with mandate form with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unitholder(s) cheque/bank account details are subject to third party verification.
- Investors are required to ensure adequate funds in their bank account on the date designated SIP date. Mirae Asset Mutual Fund (MAMF) through its service provider will endeavor to debit the investor bank account on or after the said
- Applicant acknowledges that Mirae Asset Mutual Fund will not be liable in any manner whatsoever, for any transaction failures due to rejection by the investor's bank/branch, which is due to technical reasons or due to delay in registration of the NACH mandate. Further, Applicant is aware that he/she has to sufficiently keep its bank account funded for such non-debited transactions; which upon confirmation may be presented anytime to its bank for stipulated SIP debits. Further, the Applicant also confirms that it will not hold Mirae Asset Mutual Fund and/or its service providers responsible if the transaction is delayed or not effected by its Bank or if debited in advance or after the specific date due to various reasons or for any bank charges debited by its banker in its designated account towards NACH Registration/Cancellation/Rejections.
- Mirae Asset Mutual Fund reserves the right to reverse allotments in case the debit is not paid by the bank for any reason whatsoever. Further, Mirae Asset Mutual Fund shall not be responsible and liable for any damages/compensation for any loss, damage etc., incurred by the investor. The Applicant is aware and assumes the entire risk of using the Auto Debit facility of NACH and takes full responsibility for the same.
- Mirae Asset Mutual Fund / Mirae Asset Trustee Co. Pvt. Ltd. / Mirae Asset Global Investments (India) Pvt. Ltd. reserves the right to discontinue or modify this facility at any time in future on a prospective basis. This right also includes the right to discontinue this facility in case Direct Debits through NACH routes are continuously rejected by the investor's bank for any reasons. Mirae Asset Mutual Fund reserves the right to reject any application without assigning any
- 10. Kindly note that any change in original SIP enrolment details such as SIP Date, Frequency, Tenure will be considered as fresh application and will be subject to applicable load structure and other terms at the time of application. Any change in any credential of bank particulars or transaction modification, will be treated as fresh Instructions, and applicants will have to use separate form for such changes/modifications.
- 11. Requests for any changes/cancellation in the NACH Bank Mandate request should be submitted at least 15 Business days in advance
- 12. Investments made through Auto Debit mode are subject to realization of funds from investor bank accounts and the NAV guidelines will be applicable for the transactions which are connected with realization of funds.
- 13. In case any payment instruction for SIP installment is dishonored by the Bankers for three consecutive times for the reason Account Closed or Insufficient Balance, the AMC reserves the right to discontinue the SIP enrollment.
- 14. The facility will be automatically terminated upon receipt of intimation of death of the Unitholder. Further, fresh registrations will be required for all Minor Investors who have turned Major, along with fresh bank account credentials. MAMF reserves the right to reject all such transactions through old registrations.
- 15. Each SIP installment will be treated as a fresh transaction and shall be subject to applicable exit load structure prevailing on the date of each investment.
- Third Party Cheque / Funds Transfer: The payment towards investment can happen only from the bank account of 1st holder and therefore the 1st holder needs to be one of the holder in the bank account. As per the recent guidelines, Mirae Asset Mutual Fund has decided to restrict the acceptance of Third Party payments. Accordingly Third Party payment instruments for subscriptions / investments shall not be accepted by the AMC except in the following cases:
  - Payment by Parents / Grand-Parents / related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (each regular purchase or per SIP instalment);
  - Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions:
  - iii) Custodian on behalf of an FII or a Client.
  - For complete details, please refer the section on Third Party cheques given in the General Instructions.
- Please refer the "Minimum Application/Number of units" mentioned in the KIM under the section "Applicable to all schemes" for minimum subscription amount and frequency. Please take note of the Minimum Amount Criteria as

Schemes	Monthly Frequency	Quarterly Frequency
Mirae Asset Tax Saver Fund	₹ 500 - 6 Installments - Multiples of ₹ 500 thereafter	₹ 500 - 4 Installments - Multiples of ₹ 500 thereafter
All Other Schemes	₹ 1000 - 6 Installments - Multiples of ₹ 1 thereafter	₹ 1500 - 4 Installments - Multiples of ₹ 1 thereafter

Please note Default Option is Growth. In case of Dividend, default option is Dividend Reinvestment.

- 18. The transactions are liable to rejection incase Investor has Multiple Auto Debit Mandate at folio level. Separate forms will be required to be submitted to avail of SIP in separate schemes / plans / date. A single form cannot be used for different schemes simultaneously.
- 19. Employee Unique Identification Number (EUIN): SEBI has made it compulsory for every employee / relationship manager / sales person of the distributor of mutual fund products to quote the EUIN obtained by him / her from AMFI in the Application Form. EUIN, particularly in advisory transactions, would assist in addressing any instance of misspelling even if the employee / relationship manager/sales person later leaves the employment of the distributor. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. However, if your distributor has not given you any advice pertaining to the investment, the EUIN box may be left blank. In this case, you are required to tick mark the box provided above the signature box. However, in case of any exceptional cases where there is no interaction by the employee/sales person/ relationship manager of the distributor/sub broker with respect to the transaction, AMCs shall take the requisite declaration separately signed by the investor.
- Mirae Asset Mutual Fund/Sponsor Bank/NPCI are not liable for the bank charges, if any debited from investor's bank account by the destination bank, on account of payment through NACH.
- For further details of the Scheme features like minimum amounts, risk factors etc, investors should, before investment, refer to the Scheme Information Document(s), Key Information Memorandum and Addenda issued available at any of the InvestorService Centers or distributors or from the website www.miraeassetmf.co.in
- Additional for MICRO Systematic Investment Plans (MICRO SIPs)

Additional for MICRO Systematic Investment Plans (MICRO SIPs)

As per SEBI guidelines, Lumpsum and SIP investments in mutual funds up to Rs.50,000 per year, per investor, per mutual fund shall be exempted from the requirement of PAN subject to other operational guidelines. Any investment, lumpsum or through Systematic Investment Plans (SIPs) by investors, where aggregate of investments/instalments in a rolling 12 months period, does not exceed Rs. 50,000/- per investor will be treated as Micro investments for the above purpose. Micro investments will be accepted subject to PAN exemption in KYC process. This exemption will be applicable ONLY to investments by individuals (not NRI & PIOs), Minors and Sole proprietary firms. HUFs and other categories will not be eligible for Micro Investments. The exemption is applicable to joint holders also. In case under MICRO SIP, the first SIP Instalment is processed (as the cheque may be banked), and the application is found to be defective, the Micro SIP registration will cease for future instalments. No refund to be made for the units already allotted. However redemptions will be allowed based on the submission of normal prescribed Redemption Transaction SIp. Investors may submit any one of the Photo Identification documents (please refer paragraph titled PAN under the General instructions) along with KYC form and proof of address (self-attested). No separate address proof is required Slip. Investors may submit any one of the Photo Identification documents (please refer paragraph titled PAN under the General instructions) along with KYC form and proof of address (self-attested). No separate address proof is required if Photo ID with address mentioned on it is submitted. The photo identification documents have to be current and valid and also to be either self-attested or attested by ARN holder (AMFI Registered Distributor). All the applicants including second and third applicant (if any) is mandated to submit any of the above documents.

Terms & Conditions - SIP Top-up: 'SIP Top-Up' is a facility which will enable investors to increase the amount of SIP installments at pre-defined frequency by a fixed amount during the tenure of SIP. The features, terms and conditions for availing the 'Top-Up' facility shall be as follows:

- - SIP Top-Up facility can be availed at half yearly and yearly intervals. In case the Top-Up frequency is not specified, Default will be considered as yearly frequency
  - Minimum Top-Up amount would be Rs. 500/- & in multiples of Re. 1/- thereafter for all the schemes of the Fund that
  - In case the investor does not specify Top-Up amount, Rs. 500/- will be considered as the Top-Up amount and the
    request will be processed accordingly.
  - SIP Top-up facility can be started after minimum 6 months from the date of 1st SIP. If the end date of the Top-up facility is not mentioned the Top-up facility will be continued up till the tenure of the SIP. For example, if the SIP is registered up till 2099 & the end date of the Top-up facility is not mentioned; then the Top-up will continue till 2099.
  - Top-Up facility would be available to all existing and new SIP enrolments. Existing investors who have enrolled for SIP are also eligible to avail Top-Up facility and will be required to submit 'Systematic Investment Plan (SIP) with Top-up Facility' at least 25-30 calendar days prior to the Top-Up start month.

An Illustration: The Top-Up facility will work as follows:

Details of SIP registered	Details of Top-up opted for
• Fixed SIP Installment amount: ₹ 5,000/-	Example:
SIP Period: 01-April-2016 till 31-March-2019 (3 years)	Top-Up Amount: Rs. 1,000/-
SIP date: 1st of every month (36 installments)	Top-Up Frequency: Every 6 months

## Based on above details, SIP Installments shall be as follows:

Installment No(s).	SIP Installment (in ₹) (A)	Top-Up amount (in ₹) (B)	Monthly SIP Installment amount after Top-up (in ₹) (A+B)
1 to 6	5,000	NA	5,000
7 to 12	5,000	1,000	6,000
13 to 18	6,000	1,000	7,000
19 to 24	7,000	1,000	8,000
25 to 30	8,000	1,000	9,000
31 to 36	9,000	1,000	10,000*  *(At-least amount to be filled on NACH Mandate)

## **Instructions to fill Mandate:**

- 1 LIMRN To be left blank
- 2 Date in DD/MM/YYYY format
- Sponsor Bank IFSC / MICR code, left padded with zeroes where necessary. (Maximum length 11 Alpha 3. Numeric Characters).
- Utility Code: Unique code of the entity to whom mandate is being given To be provided by the entity.
- Name of the entity to whom the mandate is being given.
- Account type SB/CA/CE/SB-NRE/SB-NRO/OTIICR
- 7. Tick Select your appropriate Action
  - a. Create For New Mandate
  - b. Modify For Changes / Amendment on existing Mandate
  - c. Cancel For cancelling the existing registered Mandate
- Your Bank Account Number for debiting the amount.
- 10. Your Bank branch IFSC code OR 11. Your Bank branch MICR code
- 9. Name of your bank and branch.

- 12. Amount in words.
- 13. Amount in figures.
- 14. Frequency at which the debit should happen.
- 15. Whether the amount is fixed or variable.
- 16. Reference 1: Any details requested by the entity to whom the mandate is being given
- 17. Reference 2: Any details requested by the entity to whom the mandate is being given.
- 18 Your phone number
- 19. Your email-id.
- 20. Period for which the debit mandate is valid
  - a. Start date
  - b. End date
  - c. Or until cancelled
- 21. Signatures of the account holder as per holding pattern in bank records.
- 22. Name of the account holder.

#### INSTRUCTIONS

Please read the Key Information Memorandum (KIM) and the terms of the Scheme Information Document (SID) and Statement of Additional Information (SAI) of the respective Schemes(s) carefully before investing / filing the application form. Investors should apprise themselves of the prevailing Load Structure on the date of submitting the Common Application Form (CAF).

All investors / applicants are deemed to have read, understood and accepted the terms, subject to which the offers are being made and bind themselves to the terms upon signing the Application Form and tendering payment.

#### 1 General Instructions

(a) The application form should be completed in ENGLISH in BLOCK LETTERS only. CAF complete in all respects, may be submitted at the designated Investor Services Centers (ISC)/Official Point of acceptance, (b) Investors must write the Application Form number/Folio number on the reverse of the cheques and bank drafts accompanying the CAF. (c) Please strike out any section that is not applicable. Any cancellation and modification on any of the mandatory information should be countersigned. (d) Please refer to the checklist at the end of these notes to ensure that the requisite details and documents have been provided in order to avoid unnecessary delays and/or rejection of your application. (e) If the Scheme name on the application form and on the payment instrument are different, the application may be processed and units allotted at applicable NAV of the scheme mentioned in the application/transaction slip duly signed by investor(s).

#### 2. Applicant Information

- (a) Name and address shall be given in full without any abbreviations. In case the Investor is an NRI/FII, an overseas address must be provided (mandatory). Alocal address if available should also be mentioned in the CAF.
- (b) Name of the guardian must be mentioned if the investments are being made on behalf of a minor. Guardian of the minor must be either a natural guardian or a Court appointed guardian. Date of birth is mandatory for minors and has to be supported with Age proof.
- (c) Name of the contact person, e-mail and telephone number should be mentioned in case of investments by a Company, Body Corporate, Trust, Partnership, Society, FII and other eligible non-individual applicants. Any change in the status of any Authorized Signatory should be promptly intimated to the AMC. Incomplete application forms are liable to be rejected.

#### (d) KYC Requirements and Details:

#### Implementation of Central KYC (CKYC):

The Government of India has authorized the Central Registry of Securitization and Asset Reconstruction and Security interest of India (CERSAI, an independent body), to perform the function of Central KYC Records Registry including receiving, storing, safeguarding and retrieving KYC records in digital form.

#### Non Individual Investors:

CKYC is currently not applicable for Non-Individual Investors. All new Non Individual Investors will continue with the old KRA KYC form. Details of net worth are mandatory for Non Individual applicants. Details of net worth shall be of a date which is within one year of the application. Non Individual Applicants, not being a company that is listed on any recognized stock exchange or is a subsidiary of such listed or is controlled by such listed Company, are also required to fill in details of ultimate beneficial ownership in section 11(a) and 11(b) of the common application Form.

#### Individual Investors:

- (i) New individual investors who have never done KYC under KRA (KYC Registration Agency) regime and whose KYC is not registered or verified in the KRA system will be required to fill the new CKYC form while investing with the Fund.
- (ii) If any new individual investor uses the old KRA KYC form, then such investor will be required to either fill the new CKYC form or provide the missing/additional information using the Supplementary CKYC form.
- (iii) Investors who have already completed CKYC and have a KYC Identification Number (KIN) from the

CKYC platform can invest in schemes of the Fund quoting their designated KIN issued by CKYC on the application form (14 digits for normal accounts and 15 digits for simplified and small accounts). Further, in case the investor's PAN is not updated in CKYC system, a self-certified copy of PAN Card shall be mandatory.

Further, the AMC/ Mutual Fund shall use the KIN of the investors to download the KYC information from CKYC and update its records as and when required. The CKYC form and Supplementary CKYC form for individual investors and common application form are available on our website.

Currently there is no impact on the Existing Investors who have done the SEBI KYC (KYC thru 5 KRAs, CVL, NDML, DOTEX, KARVY & CAMS). They can continue to invest as it is in any schemes of any Mutual Fund; Existing Investors who wishes to onboard themselves on the CKYC platform will need to again do the entire KYC process just like New Investor and get the KIN which can be used across.

- (e) Rejection: In case of non-compliance of any C-KYC requirements, Applications shall liable to be rejected without any intimation to the applicants. Any Change in Address for all KYC compliant Investors has to be routed through KRA and that direct application to AMC will be not processed/rejected. In case if the applications are rejected for detailed scrutiny and verification, either at the collection point itself or subsequently by the back office of the registrars for any reason, investors can contact the nearest Investor Service Centre or write to the Registrars, Ms. Karvy Computershare Pvt. Ltd. or send an email to customercare@miraeasset.com.
- (f) (i) All the applicants must sign in original on the application form. Signatures should be in English or in any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public or Special Executive Magistrate. In case of an HUF, the Karta will sign on behalf of the HUF.
  - (iii) In case the application is under a power of Attorney (POA), a duly certified copy thereof duly notarized should be submitted with the application. The POA document should contain the signature of both the applicant and the constituted Attorney.

(iii) Applications made by a Limited Company or a Body Corporate or a registered Society or Trust, should be accompanied by a copy of the relevant resolution or authority to make the application, as the case may be, along with a certified copy of the MOA and AOA or Trust deed/Bye laws/Partnership deed, whichever is applicable. Refer to document check list.

## 3. Bank Account Details

It is mandatory for the Sole/First Applicant to mention his/her bank account number in the CAF. CAF received without the relevant bank details will be rejected. The AMC may provide direct credit facility with the banks as may be available from time to time.

Investor(s) are requested to note that for all Change of Bank details (COB) the investors must submit in original any one of the following documents of the new bank account:

a. Cancelled original cheque of the new bank mandate with first unit holder name and bank account number printed on the face of the cheque. b. Self-attested copy of bank statement. c. Bank passbook with current entries not older than 3 months. d. Bank Letter duly signed by branch manager/authorized personnel.

The AMC may also collect proof of Old Bank details while effecting the Change of Bank "Mandate. There shall be a cooling period of 10 calendar days for validation and registration of new bank account. In case of receipt of redemption request during this cooling period, the validation of new Bank mandate and dispatch of redemption proceeds shall be completed within 10 working days to the new bank account; however, the AMC reserves the right to process the redemption request in the old bank mandate, if the credentials of the new bank mandate cannot be authenticated.

Any COB accompanied with any other transaction is liable to be rejected.

If unit holder(s) provide a new and unregistered bank mandate or a change of bank mandate request with specific redemption/dividend payment request (with or without necessary supporting documents) such bank account may not be considered for payment or redemption/dividend proceeds, or the Fund may withheld the payment for upto 10 calendar days to ensure validation of new bank mandate mentioned.

b. Indian Financial System Code (IFSC): Investors are requested to mention the IFSC while submitting any bank details updation request to help facilitate the payouts seamlessly through the electronic route. IFSC is an 11 digit number given by the banks on the cheques.

## 4. Multiple Bank Accounts Registration Facility:

The unitholder may register more than one bank account through the "Multiple Bank Accounts Registration Facility", to receive redemption/dividend proceeds. The unitholder may choose to receive the proceeds in any of the bank accounts, the details of which will be registered under the folio.

For the purpose of registration of bank account(s), the investors must submit in original any one of the following documents of the new bank account:

(a) Cancelled original cheque of the new bank mandate with first unit holder name and bank account number printed on the face of the cheque. (b) Self-attested copy of bank statement. (c) Bank passbook with current entries not older than 3 months. (d) Bank Letter duly signed by Branch Manager/Authorized personnel.

If photocopies of the above stated documents are submitted, investor must produce the original for verification at the official point of acceptance of transaction. The original shall be returned to the investor over the counter upon verification. If the originals are not produced for verification, then the photocopies submitted should be attested in original by the Branch Manager or Authorised personnel of the Bank.

## 5. Direct Credit of Redemption/Dividend Proceeds:

Investors can opt for direct credit of the redemption proceeds to their bank accounts. AMC / MF will endeavor to credit the payout directly to that bank account through available electronic mode(s) (Direct Credit / RTGS / NEFT). The AMC / MF shall not be responsible if payout through the said electronic mode(s) does not get affected due to incomplete or incorrect information or any other technical /operational reasons. The AMC / MF reserve the right to use any other mode of payment as deemed appropriate, however the preferred mode will always be NEFT/RTGS.

#### 6. Investment Details:

- Resident Investors may make payment by cheque payable locally in the city where the application form is submitted at the local Mirae Asset Mutual Fund (MAMF)/AMC office or Authorised Collection Centre(s).
- b) Please mention the application serial number on the reverse of the cheque/demand draft tendered with the CAF. The cheque should be drawn in favor of respective scheme name. Non MICR/ Outstation Cheques/Money Orders/Post Dated Cheques or Cash is not permitted. Investors residing in Centres, where the Investors Service Centres (ISCs)/Authorised Collection Centre(s) of MAMF are not located, are requested to make payment by demand drafts payable at the Centre where the application is to be lodged. D.D. charges would be borne by the AMC only for the investors residing at places which are not covered by our offices/authorised centres. The maximum charges so borne by the AMC would be restricted to limits as prescribed by State Bank of India. Please refer SAI for complete details on D.D. charges.
- c) In case the payment is made through Indian Rupee draft purchased abroad from FCNR or NREA/C, Account Debit certificate from the Bank issuing the draft, confirming the debit should be submitted.

For subscription made by NRE/FCNR Account cheques, the CAF must be accompanied with a photocopy of the cheque or Account debit Letter/certificate from the bankers. FIRC certificate is required to be submitted evidencing source of funds through Non Domestic Account. The AMC and the Registrar may ascertain the repatriation status purely based on the details provided under Investment and Payment details and will not be liable for any incorrect information provided by the applicant(s). In case the source of funds through Non Domestic Account is not validated/provided, AMC will not be in a position to repatriate redemption proceeds.

d) Applicants should indicate the Option (Dividend/Growth) for which the application is made. In absence of information the request would be processed under the default option as mentioned in the SID/SAI of the relevant scheme.

For Direct Investments, please mention "Direct" in the column "Broker/Agent Code".

- e) Third Party Cheque/Funds Transfer will not be allowed for Investment subscriptions (lumpsum/SIP) accept in the following cases. Installments of SIPs registered before November 15, 2010 will not be affected (refer Addendum dated November 12, 2010);
  - Payment by Parents/Grand-Parents/related persons on behalf of a minor in consideration of natural love and
    affection or as gift for a value not exceeding Rs. 50,000/- (each regular purchase or per SIP installment). However
    this restriction will not be applicable for payment made by a guardian whose name is registered in the records of
    Mutual Fund in that folio;
  - Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;
  - · Custodian on behalf of an FII or a Client.
- f) Options Available: Dividend and Growth Default Option: Growth; and under Dividend Option, Default option: Dividend Reinvestment. Investors may please note, that Dividend may be declared by the Trustee, subject to the availability of distributable surplus as per the Regulations.

Dividend Reinvestment can be availed at Daily, Weekly (Record date: Wednesday) & Monthly basis (Record date: 24th of every month). Kindly read the SID for frequency availability in respective scheme applied for.

#### Communication:

The investor whose transaction has been accepted by the MAMF shall receive a confirmation by way of email and/or SMS within 5 Business Days from the date of receipt of transaction request, same will be sent to the Unit holders registered e-mail address and/or mobile number. Thereafter, a Consolidated Account Statement ("CAS") shall be issued in line with the following nonequire:

- 1. Consolidation of account statement shall be done on the basis of PAN. In case of multiple holding, it shall be PAN of the first holder and pattern of holding.
- 2. The CAS shall be generated on a monthly basis and shall be issued on or before 10th of the immediately succeeding month to the unit holder(s) in whose folio(s) transaction(s) has/have taken place during the month.
- In case there is no transaction in any of the mutual fund folios then CAS detailing holding of investments across all schemes of all Mutual Funds will be issued on half yearly basis [at the end of every six months (i.e. September/ March)]
- Investors having MF investments and holding securities in Demat account shall receive a Consolidated Account Statement containing details of transactions across all Mutual Fund schemes and securities from the Depository by email / physical mode.
- Investors having MF investments and not having Demat account shall receive a CAS from the MF Industry containing details of transactions across all Mutual Fund schemes by email / physical mode.

The word 'transaction' shall include purchase, redemption, switch, dividend payout, dividend reinvestment, SIP, systematic withdrawal plan, and systematic transfer plan and bonus transactions.

CAS shall not be received by the Unit holders for the folio(s) wherein the PAN details are not updated. The Unit holders are therefore requested to ensure that the folio(s) are updated with their PAN. For Micro SIP and Sikkim based investors whose PAN details are not mandatorily required to be updated Account Statement will be dispatched by MAMF for each calendar month on or before 10th of the immediately succeeding month.

In case of a specific request received from the Unit holders, MAMF will provide the account statement to the investors within 5 Business Days from the receipt of such request.

Annual Reports or other information etc.. may be sent to unit holders by email. Investors can choose to receive e-mail communication from us in lieu of printed documents, when a unit holder has communicated his/her email address and has provided consent for sending communication only via e-mail.

Investor(s) who have provided their email address in the application form or any subsequent communication in any of the folio belonging to the investor, Electronic Mail (email) shall be treated as a default mode for sending various statutory communications including Abridged Annual Report to the investor. However, the unit holder always has the right to request a physical copy of any statutory communication and the AMC will arrange for the same to be sent to the unit holder. The AMC/Mutual Fund/Registrars & Transfer agents are not responsible for the email not reaching the investor and for all consequences thereof. The investor needs to intimate the Fund/its transfer agents about any changes in the email address from time to time.

## 3. Online Transactions/Personal Identification Number (PIN):

This facility (transact@ease) enables Investors to transact on the website of the Fund which is https://transact.miraeassetmf.co.in/investor. This facility can be availed by all KYC Compliant Investors (Fresh/Existing) using their e-mail Address and Mobile Number. The Units can be transacted only in the Physical mode.

Existing Investors need to generate the Personal Identification Number (PIN) online to view account details, portfolio valuation, download account statements; besides other options of purchasing units of select schemes with select banks, Redeem or Number 1 (PIN) accompanies.

Investors may kindly note, that availing the PIN online, is subject to having read and understood the terms & conditions and be bounded by clauses therein of the referred PIN agreement for transacting online through the website. Also note, that MAMF shall not accept online applications for subscriptions from third party source. In view of the same, we request all our esteemed online Investors to transact only through the designated bank account registered under the folio number. The first named applicant/investor should be one of the account holders to the bank account debited for such electronic transfer of funds.

 $MAMF\ will\ not\ be\ processing\ transactions\ where\ the\ funds\ for\ application(s)\ for\ subscription(s)\ cannot\ be\ ascertained\ and\ that\ the\ AMC\ reserves\ the\ right\ to\ reject\ such\ application.$ 

# 9. Nomination Details:

A Unit Holder in the scheme maybe allowed to nominate upto a maximum of three nominees. The nomination will be on a proportionate basis and investor may specify the percentage for each nominee in the event of his/her demise. If the percentage is not specified, it will be equal percentage for the nominees by default. Provision for mentioning the details of the nominees are made in the KIM/application form and for separate nomination request forms is made available to the investors. The details of the nominee(s) will be captured by the Registrar and will be available in the data base maintained. Upon receipt of intimation from the nominee(s) regarding demise of the investor, duly accompanied with necessary documents e.g. providing proof of the death of the Unit Holder, letter from nominee, attested copy of the death certificate of the unit holder, KYC and complete bank details of nominee along with his signature duly attested in original by the banker, furnishing proof guardianship if the nominee is a minor, and such other documents as may be required from the nominee in favor of and to the satisfaction of the AMC/Registrar, the units will be transmitted to the nominee(s) as per the percentage advised by the investor and a confirmation/fresh Statement of account will be sent to the new holder(s).

Only the following categories of Indian residents can be nominated: (a)individuals; (b) minors through parent/legal guardian (whose name and address must be provided); (c) religious or charitable trusts; and (d) Central Government, State Government, a local authority or any person designated by virtue of his office.

However Non Individual, including society, trust, body corporate, partnership firm, Karta of HUF, persons applying on behalf of minor or on power of attorney cannot nominate.

A nomination in respect of Units will be treated as rescinded upon the Redemption of all Units. Cancellation of a nomination can be made only by the Unit Holders who made the original nomination and must be notified in writing. On receipt of a valid cancellation, the nomination shall be treated as rescinded and the AMC/Fund shall not be under any obligation to transfer the Units in favour of the nominee.

## **INSTRUCTIONS**

The transfer of Units/payment to the nominee of the Redemption proceeds shall be valid and effectual against any demand made upon the Fund/AMC/Trustee and shall discharge the Fund/AMC/Trustee of all liability towards the estate of the deceased Unit Holder and his/her legal personal representative or other successors. The Fund, the AMC and the Trustee are entitled to be indemnified from the deceased Unit Holder's estate against any liabilities whatsoever that any of them may entire or previous connections with a promination. suffer or incur in connection with a nomination.

The Investor may choose to provide or not provide the details of his nominee. Accordingly he shall choose to select the option provided under the application form of the scheme.

#### 10. Waiver of Entry Load and Payment of commission and load structure:

No entry load will be charged by the Scheme to the investor. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.

Investors should note the following instructions for ensuring that the application is treated as a direct application:

- 1. Broker code, if already printed on the forms must be struck off and countersigned by the investors.
- 2. Ensure that the broker code block in the form is not left blank (i.e. it should be either struck off or indicated 'direct' or NA). However, if the investor does not specify the application as "Direct" or otherwise, then the AMC treats such applications as "Direct" in the interest of the investors.

 $\textbf{Exit load} \ (\text{net off Service Tax}, \text{if any, payable in respect of the same}) \ shall \ be \ credited \ to \ the \ scheme \ of \ the \ fund.$ 

#### 11. Transaction charges (TC):

In case of applications of Rs. 10,000 & more and routed through a distributor who has opted for such TC, are deducted from the subscription may be applicable from time to time: (i) Rs. 150/- from a first time mutual fund investors application (An investors who invests for the first time ever in any mutual fund either by way of subscription or SIP); (ii) Rs. 100/- from an existing mutual fund investors application. Units will be issued against the balance amount. Please tick the appropriate box as applicable to you.

However, TC - in case of investments through SIP registered, shall be deducted only if the total commitment (i.e. amount per SIP installment x Number of installments) amounts to Rs. 10,000/- or more. The TC shall be deducted in 4 installments i.e. from the 2nd to the 5th installment, equally (in case there is a rejection for the reasons of non-availability of amount in the bank or bounce of cheque for any other reasons within 2 to 5th installments, TC will be deducted from the subsequent installments).

If no option is ticked, the mutual fund reserves a right to check with investments in other mutual funds to ascertain new or existing investors. Transaction charges shall not be deducted for transactions carried out through the stock exchange platforms (i.e. BSE StAR MF Platform). In addition to above, upfront commission to distributors shall continue to be paid by the investor directly.

#### 12. Employee Unique Identification Number (EUIN):

In order to assist in in addressing any instance of mis-selling at any point of time, it is regulatory for every employee/relationship manager/sales person of the distributor/broker (interacting with the investor for the sale of Mutual Fund products) of mutual fund products to quote the EUIN (for non-advisory transactions) obtained from AMFI in the CAF. The EUIN is a 7 digit unique alpha numeric number (one alphaten and six numerals), Individual ARN holders including senior citizens are also required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. It is further clarified that a mere quoting of EUIN will not give an "advisory" character to the transaction. However, in case of any exceptional cases where there is no interaction by the employee/sales person/relationship manager of the distributor/sub broker with respect to the transaction, AMCs shall take the declaration separately signed by the investor, as mentioned on the top of the application form(s). top of the application form(s).

#### 13. Units in Demat mode:

Units of MAMF can be held by way of an Account Statement or in Dematerialized ("Demat") form. Unit holders opting to hold the units in demat form must provide their DematAccount details in the specified section of the CAF. In order to hold the units in Demat form, uniotholders shall have a beneficiary account with the Depository Participant (DP) (registered with NSDL / CDSL as may be indicated by the Fund at the time of launch of the Plan) and will be required to indicate in the CAF the DP's name, DP ID Number and the beneficiary account number of the applicant with the DP. Applicants must ensure that the sequence of names and other details like Client ID, Address and PAN details as mentioned in the application form matches that of the account held with the DP. Only those applications where the details are matched with the DP data, the application shall be treated as invalid and shall be liable to be rejected. Unit Holders opting the units in the demat mode, can submit redemation/switch only through DP or through stock exchange paltdrong in case little budgers do not provide their Demat redemation/switch only through DP or through stock exchange paltdrong in case little budgers do not provide their Demat redemption/switch only through DP or through stock exchange platform. In case Unit holders do not provide their Demat Account details, an Account Statement shall be sent to them. Such investors will not be able to trade on the stock exchange till the holdings are converted in to demat form

- 14. With effect from January 1, 2014, as per the US Securities Act of 1933, United States Person (U.S. Person), corporations and other entities organized under the applicable laws of the United States (U.S.) and Residents of Canada as defined under the applicable laws of Canada should not invest in units of any of the Schemes of the Fund and should note the following:
  - No fresh purchases (including SIP and Systematic Transfer Plans)/ additional purchases/switches in any Schemes of the Fund would be allowed. However, existing Unit Holder(s) will be allowed to redeem their units from the Schemes of the Fund. If an existing Unit Holder(s) subsequently becomes a U.S. Person or Resident of Canada, then such Unit Holder(s) will not be able to purchase any additional Units in any of the Scheme of the Fund.
  - All existing registered SIP and Systematic Transfer Plans would be ceased.
  - For transaction from Stock Exchange platform, while transferring units from the broker account to investor account, if the investor has U.S./Canadian address then the transactions would be rejected.
  - In case the AMC/MAMF subsequently identifies that the subscription amount is received from U.S. Person(s) or Resident(s) of Canada, in that case the AMC/Fund at its discretion shall redeem all the units held by such person from the Scheme of the Fund at applicable NetAsset Value.
- The US Department of the Treasury and the US Internal Revenue Service (IRS) has introduced the Foreign Account Tax Compliance Act (FATCA), effective July 01, 2014. The purpose of FATCA is to report financial assets owned by United States persons to the US tax authorities. Accordingly.

persons to the US tax authorities. Accordingly.

AMC may be required to report information relating to the folios of the investors to the authority established by the Government of India for its submission to US authorities. AMC reserves the right to seek additional information / documents sought for FATCA details in the CAF for the disclosure and reporting of any tax related information obtained or held by the fund to any local or foreign regulatory or tax authority. Tax Authority. Don request by the fund, investor hereby agrees to provide necessary information and permits the fund to disclose and report tax and account specific financial information to any local or foreign Tax authority. The potential consequences for failure to comply with requests for tax information disclosure include, but are not limited to: (a) Fund has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b) Fund has the right to average the appropriate tax authority; (d) Fund has the right to pay relevant taxes to the appropriate tax authority; (d) Fund has the right to refuse to provide certain services; and (e) Fund has the right to pay relevant taxes to the appropriate tax authority; (d) Fund has the right to refuse to provide certain services; and (e) Fund has the right to pay relevant passes to tax information previously provided.

All Investors including non-individual investors, shall be required to submit a mandatory declaration form along with the investment request. The indicia's are to identify a US Person as defined under the Laws of the United States of America. The absence of completed documentations may prevent us from accepting the investment and may require us to redeem existing

absence of completed documentations may prevent us from accepting the investment and may require us to redeem existing investments in case the same is mandated by the regulatory authorities.

The identification of US person will be based on one or more of the following US indicia:- Identification of the investor as US citizen or resident (1) US is the place of birth or country of incorporation (2) Having US telephone number (3) Having any residence / mailing address / //Ola oddress / // hold mail address / PO Box address in the US (4) Having Standing instruction to transfer funds to an account maintained in USA (5) Being POA holder based out of US or having US residence / citizenship (6) Paying tax in the US (7) Having Identification Number or any identification that indicates US residence / citizenship (8) Having US beneficiary owners /shareholders (9) The Director / Promotor / Authorised signatory / POA holder of non-individual investor is based out of US or holds US residence / citizenship.

## 16. Details under FATCA & CRS

As a part of regulatory process, the AMC may seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders and will report to tax authorities / appointed agencies/ institutions such as withholding agents should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

The investor may receive more than one request for information if you have multiple relationships with the AMC or its group entities. Kindly respond to all our requests, even if you have already supplied any previously requested information. For any queries about your tax residency, kindly contact your tax advisor. If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

#It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Financial Institution (FI): The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined under FATCA guidelines.

Non-Financial Entity (NFE): Types of NFEs that are regarded as excluded NFE are:

- a. Publicly traded company (listed company): A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange).
- Related entity of a publicly traded company: The NFE is a related entity of an entity of which is regularly traded on an established securities market.

## Active NFE: (is any one of the following):

Code Sub-category

	percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE that fulfills all of the following requirements: (1) It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; (2) It is exempt from income tax in India; (3) It has no shareholders or members who have a proprietary or beneficial interest in its income or assests;
	The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.
	Explanation. For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely- (1) an Investor Protection Fund referred to in clause (23EA); (2) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and (3) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;
08	The stock of the entity is regularly traded on an established securities market or the non financial entity is a related entity of the entity, the stock of which is regularly traded on an established securities market.

Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50

- Document Type: Please mention the Code or Document as: "A" Passport; "B" Election ID Card; "C" PAN CARD; "D" Driving License; "E" UIDIA/Aadhar letter; "F" NREGA Job Card.
- e. Exemption code for U.S. person (Refer 114F(9) of Income Tax Rules, 1962 for details.

Exemption code for U.S. person (Refer 114F(9) of Income Tax Rules, 1962 for details.
(ii) An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37). (ii) The United States or any of its agencies or instrumentalities. (iii) A state, the District of Columbai, a possession of the United States or any of their political subdivision or instrumentalities. (iv) A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i). (vi) A dealer in securities, commodities, or derivative financial instruments (including national principal contracts, futures, forwards and options) that is registered as such under the laws of the United States or any state. (viii) A real estate investment trust. (viii) A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the investment company act of 1940. (ix) A common trust fund as defined in section 581. (xi) A broker. (xii) A furust exempt from tax under section 664 or described in section 4947(a)(1). (xiii) A tax exempt trust under a section 4947(a)(1). (xiii)

Atax exempt trust under a section 403(b) plan or section 457(g) plan.

Passive Income includes: Dividends; Interest; Income equivalent to interest, Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE; Annuities; excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income; excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets; excess of foreign currency gains over foreign currency gains over

Passive NFE means: any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or an investment entity defined in clause (b) of these instructions a withholding foreign partnership or withholding foreign trust; (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes).

Direct reporting NFE means: a NFFE that elects to report information about its direct or indirect substantial U.S. owners to

Owner documented FFI: An FFI meets the following requirements: The FFI is an FFI solely because it is an investment Owner documented FFI: An FH meets the following requirements: The FHI is an FHI solely because it is an investment entity. The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, special insurance company; The FFI does not maintain a financial account for any non participating FFI; The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

## Ultimate Beneficial Owner (UBO)

Interestors (other than Individuals) are required to provide details of UBO(s) and submit POI (viz. PAN with photograph or any other acceptable POI prescribed in common KYC form) of UBO(s). Non-individual applicants/investors are mandated to provide the details on UBO(s) by filling up the declaration form for UBO. Providing information about beneficial ownership will be applicable to the subscriptions received from all categories of investors except Individuals and a Company listed on a stock exchange or is a majority owned subsidiary of such a Company. In case of any change in the beneficial ownership, the investor should immediately intimate AMC it is Registrar (KRA, as may be applicable, about such changes. Please contact the nearest ISC of MAMF or log on to our website www.miraeassetmf.co.in for the Declaration Form.

# Ultimate Beneficial Owner means:

For Investor other than Trust: A 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

Controlling ownership interest means ownership of / entitlements to: (i) more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company; (ii) more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or (iii) more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

In cases where there exists doubt as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity details should be provided of the natural person who is exercising control over the juridical person through other means (i.e. control exercised through voting rights, agreement, arrangements or in any other manner). However, where no natural person is identified, the identity of the relevant natural person who holds the position of senior managing official should be provided.

- For Trust: The settler of the trust, the trustees, the protector, the beneficiaries with 15% or more of interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.
- Applicability for foreign investors: The identification of beneficial ownership in case of Foreign Institutional Investors (FIIs), Applicability of Integriting and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012.
- CIR/MIRSD/11/2012 dated September 5, 2012.

  UBO Code Description: UBO-1: Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person (Investor), where the juridical person is a company. UBO-2: Controlling ownership interest of more than 15% of the capital or profits of the juridical person is a cartnership. UBO-3: Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person is a partnership. UBO-3: Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person is a partnership. UBO-3: Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person in unincorporated association or body of individuals. UBO-4: Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner (In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]. UBO-5: Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]. UBO-6: The settlor(s) of the trust. UBO-7: Truste(s) of the Trust. UBO-8: The Protector(s) of the Trust (If applicable). UBO-9: The beneficial exist in 15% or more interest in the trust if they are natural person(s). UBO-10: Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

In case of any change in the information such as address, telephone number, citizenship, etc., investors are requested to bring this to the notice of the fund and submit the FATCA declaration form (available on www.miraeassetmf.co.in).