

Axis Asset Management Company Limited (Investment Manager)

## KEY INFORMATION MEMORANDUM AND APPLICATION FORM

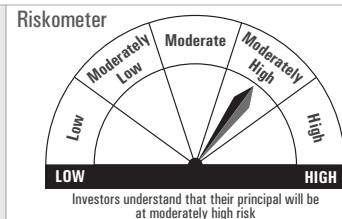
### AXIS GROWTH OPPORTUNITIES FUND

(An Open-ended Equity Scheme investing in both large cap and mid cap stocks)

This product is suitable for investors who are seeking\*

- Capital appreciation over long term.
- Investment in a diversified portfolio predominantly consisting of equity and equity related instruments both in India as well as overseas.

\*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.



**Offer for units of ₹ 10 per unit during the New Fund Offer and at NAV based prices upon re-opening**

**New Fund Offer Opens on: October 01, 2018**

**New Fund Offer Closes on: October 15, 2018**

**Scheme Re-opens for continuous sale and repurchase on or before: Within five business days from the date of allotment.**

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the scheme/ Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website www.axismf.com.

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

**This document is dated : September 17, 2018**

<b>Name of scheme</b>	Axis Growth Opportunities Fund (An Open-ended Equity Scheme investing in both large cap and mid cap stocks)	
<b>Investment Objective</b>	To generate long term capital appreciation by investing in a diversified portfolio of Equity & Equity Related Instruments both in India as well as overseas. However, there can be no assurance that the investment objective of the Scheme will be achieved.	
<b>Asset Allocation Pattern of the Scheme</b>	<b>Types of Instruments</b>	<b>Normal Allocation (% of Net Assets)</b>
	Equity & equity related instruments of Large Cap Companies #^	35-65%
	Equity & equity related instruments of Mid Cap Companies #^	35-65%
	Debt and Money Market Instruments* #	0-30%
	<p>The cumulative gross exposure through equity, debt and derivative positions shall not exceed 100% of the net assets of the Scheme.</p> <p>The Scheme may invest in foreign securities including ADRs / GDRs / other securities subject to SEBI (MF) Regulations. Such Investment shall not exceed 35% of the net assets of the Scheme.</p> <p>^ Includes Foreign Equity &amp; Equity related instruments up to 35% of the net assets of the fund. The market capitalization classification viz large cap/mid cap/small cap of such instruments will be determined based on the range of market capitalization of list of stocks provided by AMFI, in accordance with methodology prescribed by SEBI.</p> <p># including derivatives instruments to the extent of 70% of the Net Assets as permitted by the Regulations from time to time. The Scheme may use derivatives for such purposes as maybe permitted by the Regulations, including for the purpose of hedging and portfolio balancing, based on the opportunities available and subject to guidelines issued by SEBI from time to time. The Scheme may also use fixed income derivative instruments subject to the guidelines as maybe issued by SEBI and RBI and for such purposes as maybe permitted from time to time.</p> <p>* Investment in Securitised debt (excluding foreign securitized debt), if undertaken, would not exceed 35% of the net assets of the Scheme.</p> <p>The Scheme shall not invest in foreign securitized debt and Credit default Swaps</p> <p>The Scheme may undertake repo transactions in corporate debt securities in accordance with the directions issued by RBI and SEBI from time to time. Such investment shall be made subject to the guidelines which may be prescribed by the Board of Directors of the Asset Management Company and Trustee Company.</p> <p>Pending deployment of the funds in securities in terms of investment objective of the Scheme, the AMC may park the funds of the Scheme in short term deposits of the Scheduled Commercial Banks, subject to the guidelines issued by SEBI vide its circular dated April 16, 2007, as may be amended from time to time.</p> <p>The Scheme retains the flexibility to invest across all the securities in the equity, debt and Money Markets Instruments and mutual fund units. The portfolio may hold cash depending on the market condition.</p> <p>The Scheme shall adhere to the following limits should it engage in Stock Lending.</p> <ol style="list-style-type: none"> <li>1. Not more than 25% of the net assets of the Scheme can generally be deployed in Stock Lending.</li> <li>2. Not more than 5% of the net assets of the Scheme can generally be deployed in Stock Lending to any single counter party.</li> </ol> <p>The Scheme may engage in short selling of securities in accordance with the framework relating to short selling and securities lending and borrowing specified by SEBI.</p>	
<b>Differentiation with existing open ended equity schemes (as on August 31, 2018)</b>	<p><b>Axis Growth Opportunities Fund</b>, An Open-ended Equity Scheme investing in both large cap and mid cap stocks is a new scheme offered by Axis Mutual Fund and is not a minor modification of any other existing scheme/product of Axis Mutual Fund. Differentiation is as follows:</p> <p><b>Axis Long Term Equity Fund</b></p> <p><b>Asset Allocation</b></p>	
	<b>Instruments</b>	<b>Normal Allocation (% of Net Assets)</b>
	Equity and Equity related securities	80 - 100
	Debt and Money Market Instruments	0 - 20
	<p><b>Primary Investment Objective:</b> The investment objective of the scheme is to generate income and long-term capital appreciation from a diversified portfolio of predominantly equity and equity-related Securities. However, there can be no assurance that the investment objective of the scheme will be achieved.</p> <p><b>Investment Strategy:</b> The Scheme will invest in a diversified portfolio of strong growth companies with sustainable business models. Though the benchmark is S&amp;P BSE-200, the investments will not be limited to the companies constituting the benchmark.</p> <p>The portfolios will be built utilising a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective. The AMC employs a fundamentals based research process to analyse the appreciation potential of each stock in its universe. The universe of stocks is carefully selected to include companies having robust business models and enjoying sustainable competitive advantages as compared to their competitors. The Fund will have the flexibility to invest across the market capitalization spectrum.</p> <p>The Scheme will endeavour to remain fully invested in equity and equity-related instruments at all times.</p> <p><b>Differentiation</b> - An open ended equity linked saving scheme with a statutory lock in of 3 year and tax benefit</p> <p><b>AUM (₹ in crores): 18,751.15; No. of Folios: 14,12,370</b></p>	

<b>Axis Midcap Fund</b>	
<b>Asset Allocation</b>	
<b>Instruments</b>	<b>Normal Allocation (% of Net Assets)</b>
Equity and Equity Related Instruments of Mid-cap companies	65 - 100
Equity and Equity Related Instruments of non Mid-cap Companies	0 - 35
Debt and Money Market Instruments	0 - 35
<p><b>Primary Investment Objective:</b> To achieve long term capital appreciation by investing predominantly in equity &amp; equity related instruments of Mid Cap companies.</p> <p><b>Investment Strategy:</b> Axis Midcap Fund endeavors to generate capital appreciation through an actively managed diversified portfolio of primarily larger mid-cap companies.</p> <p>The portfolio will be built utilising a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective. The AMC employs a "Fair value" based research process to analyse the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company). The universe of stocks is carefully selected to include companies having a robust business models and enjoying sustainable competitive advantages as compared to their competitors.</p> <p>The Fund will, mainly, invest in mid-cap companies. Mid-cap companies, as they are in a stage of growth, may be valued higher than their fair value. However, the Fund intends to identify such strong growth companies &amp; take advantage of their future appreciation.</p> <p>The Fund by utilising a holistic risk management strategy will endeavour to manage risks associated with investing in equity markets. The Fund has identified the following risks and designed risk management strategies, which are embedded in the investment process to manage these risks-</p> <ul style="list-style-type: none"> <li>i. Quality Risk - Risk of investing in unsustainable / weak companies.</li> <li>ii. Price Risk - Risk of overpaying for a company</li> <li>iii. Liquidity Risk - High Impact cost of entry and exit</li> <li>iv. Volatility Risk - Volatility in price due to company or portfolio specific factors</li> <li>v. Event Risk - Price risk due to a company / sector specific or market event</li> </ul> <p><b>Differentiation</b> - An open ended equity scheme predominantly investing in Mid Cap companies</p> <p><b>AUM (₹ in crores):</b> 1,733.52; <b>No. of Folios:</b> 1,39,557</p>	
<b>Axis Focused 25 Fund</b>	
<b>Asset Allocation</b>	
<b>Instruments</b>	<b>Normal Allocation (% of Net Assets)</b>
Equity and Equity Related Instruments (of not exceeding 25 companies) Of which:	65 - 100
Companies among the top 200 in terms of market capitalization: 90% - 100%	
Other equities: 0% - 10%	
Debt and Money Market Instruments:	0 - 35
<p><b>Primary Investment Objective:</b> To generate long term capital appreciation by investing in a concentrated portfolio of equity &amp; equity related instruments of up to 25 companies.</p> <p><b>Investment Strategy:</b> The scheme aims to generate long term capital appreciation by investing in a concentrated portfolio of equity &amp; equity related instruments of up to 25 companies.</p> <p>In order to have a concentrated portfolio, the scheme will follow a bottom up stock selection approach.</p> <p>The portfolio will be built utilising a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective. The AMC employs a "Fair value" based research process to analyse the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company).</p> <p>The universe of stocks is carefully selected to include companies having a robust business models and enjoying sustainable competitive advantages as compared to their competitors.</p> <p>While 65 - 100% of the corpus will be invested in equities (no less than 20 companies and up to 25 companies), it is expected that under normal market conditions at least 80% of the corpus will be invested in equities (no less than 20 companies and up to 25 companies). The Scheme will primarily invest in companies among the top 200 in terms of market cap.</p> <p><b>Differentiation</b> - An Open-ended Equity Scheme investing in maximum 25 stocks investing in large cap, mid cap and small cap companies</p> <p><b>AUM (₹ in crores):</b> 6,074.23; <b>No. of Folios:</b> 4,25,644</p>	
<b>Axis Bluechip Fund</b>	
<b>Asset Allocation</b>	
<b>Instruments</b>	<b>Normal Allocation (% of Net Assets)</b>
Equity and Equity Related Instruments of Large Cap companies	80 - 100
Equity and Equity Related Instruments of other companies	0 - 20
Debt and Money Market Instruments	0 - 20
<p><b>Primary Investment Objective:</b> To achieve long term capital appreciation by investing in a diversified portfolio predominantly consisting of equity and equity related securities of Large Cap companies including derivatives. However, there can be no assurance that the investment objective of the Scheme will be achieved.</p> <p><b>Investment Strategy:</b> The Scheme will invest predominantly in Equity and Equity Related Instruments of Large Cap companies with strong growth and sustainable business models, whilst managing risk.</p> <p>The portfolios will be built utilising a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective. The AMC employs a "Fair value" based research process to analyse the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company). The universe of stocks is carefully selected to include companies having robust business models and enjoying sustainable competitive advantages as compared to their competitors.</p> <p><b>Differentiation</b> - An open-ended equity scheme predominantly investing in large cap stocks</p> <p><b>AUM (₹ in crores):</b> 2,856.58; <b>No. of Folios:</b> 2,50,631</p>	
<b>Axis Equity Saver Fund</b>	
<b>Asset Allocation</b>	
<b>Instruments</b>	<b>Normal Allocation (% of Net Assets)</b>
Equity and Equity related securities Of which	65 - 80
i)Equities & equity related instruments (unhedged)	20 - 45
ii)Equities, equity related instruments and derivatives including index futures, stock futures, index options, & stock options, etc. as part of hedged / arbitrage exposure	20 - 60
Debt & Money Market Instruments	20 - 35
Units issued by REITs & InvITs	0 - 10
<p><b>Primary Investment Objective:</b> The investment objective of the scheme is to provide capital appreciation and income distribution to the investors by using equity and equity related instruments, arbitrage opportunities, and investments in debt and money market instruments. However, there is no assurance or guarantee that the investment objective of the Scheme will be achieved. The Scheme does not assure or guarantee any returns.</p>	

**Investment Strategy:** The Scheme has a dual objective of providing capital appreciation and income distribution to the investors by using equity and equity related instruments, arbitrage opportunities, and investments in debt and money market instruments. The scheme seeks to benefit from the concept of asset allocation. The aim of asset allocation is to provide superior risk adjusted returns through diversification across various asset classes like equity, fixed income & arbitrage which have historically had low correlation with each other.

**Differentiation -** An open ended scheme investing in equity, arbitrage and debt

**AUM (₹ in crores):** 779.76; **No. of Folios:** 27,703

**Axis Arbitrage Fund**  
**Asset Allocation**

Instruments	Normal Allocation (% of Net Assets)
Equities, equity related instruments (unhedged)	0 - 10
Equities, equity related instruments and derivatives including index futures, stock futures, index options, & stock options, etc. as part of hedged / arbitrage exposure	65 - 90
Debt and Money market instruments (including investments in securitized debt)	10 - 35

**Primary Investment Objective:** To generate income through low volatility absolute return strategies that take advantage of opportunities in the cash and the derivative segments of the equity markets including the arbitrage opportunities available within the derivative segment, by using other derivative based strategies and by investing the balance in debt and money market instruments. However, there is no assurance or guarantee that the investment objective of the scheme will be achieved. The scheme does not assure or guarantee any returns.

**Investment Strategy:** The scheme will seek to achieve its investment objective primarily by employing various strategies which seek to exploit absolute returns opportunities in equity and derivative markets. In case such opportunities are not available, the scheme will invest the corpus in debt and money market instruments.

The equity and derivative markets have experienced enormous growth in India in the last few years. The market provides the investor the ability to derive returns from the various strategies enumerated below. The market is not always efficient to the extent of mispricing in the derivative market and the underlying cash market. These techniques differ in that each method attempts to exploit a different form of imperfection in the underlying equity, debt and derivatives market and thus expose the investor to different forms of risk.

The strategies the Fund may adopt could be as under. The list is not exhaustive and the Fund could use similar strategies and any other strategies as available in the markets.

**Differentiation -** An open ended scheme investing in arbitrage opportunities

**AUM (₹ in crores):** 1,946.42; **No. of Folios:** 60,577

**Axis Dynamic Equity Fund**  
**Asset Allocation**

Instruments	Normal Allocation (% of Net Assets)
Equity and Equity related securities	65 - 100
Equity derivatives	0 - 45
Debt & Money Market Instruments including cash & cash equivalent	0 - 35
Units issued by REITs & InvITs	0 - 10

**Primary Investment Objective:** To generate capital appreciation by investing in a portfolio of equity or equity linked securities while secondary objective is to generate income through investments in debt and money market instruments. It also aims to manage risk through active asset allocation.

**Investment Strategy:** The scheme has a dual objective of generating capital appreciation by investing in equity and equity related securities as well as generating income by investing in debt and money market securities, while attempting to manage risk from the market through active asset allocation. In order to achieve this process, the scheme will follow a top-down and bottom-up strategy. The top-down process will lead to the active ongoing asset allocation decision between equity and debt and the bottom up process would lead to construction of the portfolio using specific securities.

The AMC has built a proprietary in-house quantitative model to determine the top-down dynamic asset allocation for the fund. The AMC has built a proprietary in-house quantitative approach to guide the asset allocation decision. The quantitative approach looks at equity markets across three parameters – momentum, volatility and valuations – to decide the appropriate allocation to the same. The allocation to debt is the residual number that is arrived at after deciding the equity allocation. The asset allocation decision is reviewed on an ongoing basis and is dynamically linked to movements in market variables.

**Differentiation -** An open ended dynamic asset allocation fund

**AUM (₹ in crores):** 2,696.53; **No. of Folios:** 1,01,743

**Axis Multicap Fund**  
**Asset Allocation**

Instruments	Normal Allocation (% of Net Assets)
Equity and Equity Related Instruments	80 - 100
Debt and Money Market Instruments	0 - 20

**Primary Investment Objective:** To generate long term capital appreciation by investing in a diversified portfolio of equity & equity related instruments across market capitalization.

**Investment Strategy:** The scheme aims to generate long term capital appreciation by investing in a diversified portfolio of equity & equity related instruments across market capitalization.

The scheme will target undervalued companies that offer opportunities to generate superior capital gains from medium-to-long term perspective.

An indicative set of companies which can offer such potential include – companies whose growth potential is not fully priced by the market, quality companies that are going through near term challenges but with strong long term potential, companies trading at a steep discount to their fair value.

The portfolio will be built utilising a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective. The AMC employs a ""Fair value"" based research process to analyse the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company). The universe of stocks is carefully selected to include companies having a robust business models and enjoying sustainable competitive advantages as compared to their competitors.

The scheme by utilising a holistic risk management strategy will endeavour to manage risks associated with investing in equity markets. The scheme has identified the following risks and designed risk management strategies, which are embedded in the investment process to manage these risks

- Quality Risk - Risk of investing in unsustainable / weak companies.
- Price Risk - Risk of overpaying for a company
- Liquidity Risk - High Impact cost of entry and exit
- Concentration risk - Invest across the market capitalization spectrum and industries/ sectors
- Volatility Risk - Volatility in price due to company or portfolio specific factors
- Event Risk - Price risk due to a company / sector specific or market event

**Differentiation -** An open ended equity scheme investing across large cap, mid cap, small cap stocks

**AUM (₹ in crores):** 2,924.22; **No. of Folios:** 1,87,846

	<p><b>Axis Growth Opportunities Fund</b></p> <p><b>Asset Allocation</b></p> <table border="1"> <thead> <tr> <th>Instruments</th> <th>Normal Allocation (% of Net Assets)</th> </tr> </thead> <tbody> <tr> <td>Equity &amp; equity related instruments of large cap companies #</td> <td>35 - 65</td> </tr> <tr> <td>Equity &amp; equity related instruments of mid cap companies #</td> <td>35 - 65</td> </tr> <tr> <td>Foreign Equity and equity related instruments#</td> <td>0 - 30</td> </tr> <tr> <td>Debt and Money Market Instruments* #</td> <td>0 - 30</td> </tr> </tbody> </table> <p><b>Primary Investment Objective:</b> To generate long term capital appreciation by investing in a diversified portfolio of equity &amp; equity related instruments both in India as well as overseas. However, there can be no assurance that the investment objective of the Scheme will be achieved.</p> <p><b>Investment Strategy:</b> Equity portfolio will be run as a diversified portfolio with a balanced mix of large and mid cap stocks. The Scheme will look at the 3 pillars while constructing the portfolio:</p> <ul style="list-style-type: none"> <li>- High quality portfolio</li> <li>- Sustainable growth across market cycles</li> <li>- Low churn</li> </ul> <p>Portfolio construction would be a combination of both top down and bottom up approach. The top down approach will be based on macro-economic analysis and will be used to arrive at the geographical market and sectors/themes while the bottom-up process will focus on appreciation potential of individual stocks from a fundamental perspective to arrive at the stock selection. The AMC employs a "Fair value" based research process to analyse the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company). The universe of stocks is carefully selected to include companies having a robust business models and enjoying sustainable competitive advantages as compared to their competitors.</p> <p>Investment in Foreign Securities will be made to capture potential opportunities in equity markets of developed and/or emerging markets across geographies. Investment could also be made in themes/brands/market leaders present in these specific markets that cannot be played through the domestic economy either because these are not present or the companies are not listed on an exchange in India.</p> <p>The portfolio will have an absolute return focus. That is the fund manager will not look at the market cycles but will try to generate returns while minimizing the potential for downside. Thus the Scheme will have the leeway to take a higher allocation to cash in case the fund manager is not able to find appropriate stocks at acceptable valuations at any time.</p> <p>The Scheme by utilising a holistic risk management strategy will endeavour to manage risks associated with investing in equity markets. The Scheme has identified the following risks and designed risk management strategies, which are embedded in the investment process to manage these risks</p> <ol style="list-style-type: none"> <li>i. Quality Risk - Risk of investing in unsustainable / weak companies.</li> <li>ii. Price Risk - Risk of overpaying for a company</li> <li>iii. Liquidity Risk - High Impact cost of entry and exit</li> <li>iv. Volatility Risk - Volatility in price due to company or portfolio specific factors</li> <li>v. Event Risk - Price risk due to a company / sector specific or market event</li> </ol> <p><b>Differentiation</b> - A diversified equity portfolio of securities with current or potentially attractive opportunities from both Indian and overseas markets</p> <p><b>AUM (₹ in crores):</b> N.A.; <b>No. of Folios:</b> N.A.</p>	Instruments	Normal Allocation (% of Net Assets)	Equity & equity related instruments of large cap companies #	35 - 65	Equity & equity related instruments of mid cap companies #	35 - 65	Foreign Equity and equity related instruments#	0 - 30	Debt and Money Market Instruments* #	0 - 30
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<b>Investment Strategy of the Scheme</b>	<p>The Scheme aims to generate long term capital appreciation by investing in a diversified portfolio of Equity &amp; Equity Related Instruments both in India as well as overseas.</p> <p>Equity portfolio will be run as a diversified portfolio without any capitalization bias and sector preference with a balanced mix of large and mid cap stocks.</p> <p>The Scheme will look at the 3 pillars while constructing the portfolio:</p> <ul style="list-style-type: none"> <li>- High quality portfolio</li> <li>- Sustainable growth across market cycles</li> <li>- Low churn</li> </ul> <p>Portfolio construction would be a combination of both top down and bottom up approach. The top down approach will be based on macro-economic analysis and will be used to arrive at the geographical market and sectors/themes while the bottom-up process will focus on appreciation potential of individual stocks from a fundamental perspective to arrive at the stock selection. The AMC employs a "Fair value" based research process to analyse the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company). The universe of stocks is carefully selected to include companies having a robust business models and enjoying sustainable competitive advantages as compared to their competitors.</p> <p>Investment in foreign securities will be made to capture potential opportunities in equity markets of developed and/or emerging markets across geographies. Investment could also be made in themes/brands/market leaders present in these specific markets that cannot be played through the domestic economy either because these are not present or the companies are not listed on an exchange in India.</p> <p>The portfolio will have an absolute return focus. That is the fund manager will not look at the market cycles but will try to generate returns while minimizing the potential for downside. Thus the Scheme will have the leeway to take a higher allocation to cash in case the fund manager is not able to find appropriate stocks at acceptable valuations at any time.</p> <p>The Scheme by utilising a holistic risk management strategy will endeavour to manage risks associated with investing in equity markets. The Scheme has identified the following risks and designed risk management strategies, which are embedded in the investment process to manage these risks</p> <ol style="list-style-type: none"> <li>i. Quality Risk - Risk of investing in unsustainable / weak companies.</li> <li>ii. Price Risk - Risk of overpaying for a company</li> <li>iii. Liquidity Risk - High Impact cost of entry and exit</li> <li>iv. Volatility Risk - Volatility in price due to company or portfolio specific factors</li> <li>v. Event Risk - Price risk due to a company / sector specific or market event</li> </ol>										
<b>Risk Profile of the Scheme</b>	<p>Mutual Fund Units involve investment risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment. Scheme specific risk factors are summarized below:</p> <p>The scheme carries risks associated with investing in equity and equity related securities, derivatives, debt and money market securities, securitized debt, short selling and securities lending.</p> <p>The value of Scheme's investments may be affected by factors affecting the Securities markets and price and volume volatility in the capital markets, interest rates, currency exchange rates, changes in law/policies if the Government, taxation laws and political, economic or other developments which may have an adverse bearing on individual securities, a specific sector or all sectors. Consequently, the NAV of the units of the Scheme may be affected. Investment in Foreign Securities involves a currency risk. To the extent that the assets of the Scheme will be invested in securities denominated in foreign currencies, the Indian Rupee equivalent of the net assets, distributions and income may be adversely affected by changes in the value of certain foreign currencies relative to the Indian Rupee. The repatriation of capital to India may also be hampered by changes in regulations concerning exchange controls or political circumstances as well as the application to it of other restrictions on investment.</p>										
<b>Risk Management</b>	<p>Risk management is going to be an integral part of the investment process. Effective risk management is critical to fund management for achieving financial soundness. Investments by the Scheme shall be made as per the investment objectives of the Scheme and provisions of the Regulations.</p>										

<b>Plans and Options</b>	<p><b>The Scheme offers the following Plans:</b>  Axis Growth Fund offers the following plans:  1. Axis Growth Opportunities Fund - Regular Plan  2. Axis Growth Opportunities Fund - Direct Plan  Each plan offers the following options:  <b>a. Growth Option</b>  <b>b. Dividend Option</b>  1. Dividend Payout Facility  2. Dividend Reinvestment Facility</p> <p><b>Regular Plan</b>  Regular Plan is available for all type of investors investing through a Distributor.</p> <p><b>Direct Plan</b>  Direct Plan is only for investors who purchase/ subscribe Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor.  All the plans will have common portfolio.</p> <p><b>Default Plan</b>  The investor must clearly specify his choice of plan. The investors may refer to the following table for applicability of Direct Plan/ Regular Plan under different scenario:-</p> <table border="1" data-bbox="344 527 1497 751"> <thead> <tr> <th>Scenario</th> <th>Broker Code mentioned by the investor</th> <th>Plan mentioned by the investor</th> <th>Default Plan to be captured</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Not mentioned</td> <td>Not mentioned</td> <td>Direct Plan</td> </tr> <tr> <td>2</td> <td>Not mentioned</td> <td>Direct</td> <td>Direct Plan</td> </tr> <tr> <td>3</td> <td>Not mentioned</td> <td>Regular</td> <td>Direct Plan</td> </tr> <tr> <td>4</td> <td>Mentioned</td> <td>Direct</td> <td>Direct Plan</td> </tr> <tr> <td>5</td> <td>Direct</td> <td>Not Mentioned</td> <td>Direct Plan</td> </tr> <tr> <td>6</td> <td>Direct</td> <td>Regular</td> <td>Direct Plan</td> </tr> <tr> <td>7</td> <td>Mentioned</td> <td>Regular</td> <td>Regular Plan</td> </tr> <tr> <td>8</td> <td>Mentioned</td> <td>Not Mentioned</td> <td>Regular Plan</td> </tr> </tbody> </table> <p>In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.  Default Option: Growth (between Growth and Dividend)  Default Facility: Dividend Reinvestment facility (between Dividend Reinvestment and Dividend Payout facility).</p>	Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured	1	Not mentioned	Not mentioned	Direct Plan	2	Not mentioned	Direct	Direct Plan	3	Not mentioned	Regular	Direct Plan	4	Mentioned	Direct	Direct Plan	5	Direct	Not Mentioned	Direct Plan	6	Direct	Regular	Direct Plan	7	Mentioned	Regular	Regular Plan	8	Mentioned	Not Mentioned	Regular Plan
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7	Mentioned	Regular	Regular Plan																																		
8	Mentioned	Not Mentioned	Regular Plan																																		
<b>Applicable NAV</b>	<p><b>Subscriptions/ Purchases including Switch - ins:</b>  The following cut-off timings shall be observed by the Mutual Fund in respect of purchase of Units of the Scheme, and the following NAVs shall be applied for such purchase:  1. where the application is received upto 3.00 pm for an amount less than Rs. 2 lakh with a local cheque or demand draft payable at par at the place where it is received – closing NAV of the day of receipt of application;  2. where the application is received after 3.00 pm for an amount less than Rs. 2 lakh with a local cheque or demand draft payable at par at the place where it is received – closing NAV of the next Business Day ; and  3. where the application is received with an outstation cheque or demand draft which is not payable on par at the place where it is received – closing NAV of day on which the cheque or demand draft is credited.  4. where the purchase/ switch-in applications received before the cut-off timing for units of an amount equal to or more than Rs.2 lakh, the closing Net Asset Value (NAV) of the business day on which the funds are available for utilization, i.e. upto 3.00 p.m., shall be applicable, irrespective of the time of receipt of such application.</p> <p><b>Redemptions including Switch - outs:</b>  The following cut-off timings shall be observed by the Mutual Fund in respect of Repurchase of Units:  1. where the application received upto 3.00 pm – closing NAV of the day of receipt of application; and  2. an application received after 3.00 pm – closing NAV of the next Business Day.  The above mentioned cut off timing shall be applicable to transactions through the online trading platform.  The Date of Acceptance will be reckoned as per the date &amp; time; the transaction is entered in stock exchange’s infrastructure for which a system generated confirmation slip will be issued to the investor.</p>																																				
<b>Minimum Application Amount/Number of Units</b>	<table border="1" data-bbox="344 1331 1497 1549"> <thead> <tr> <th colspan="4">During NFO period</th> </tr> <tr> <th>Purchase</th> <th>Additional Purchase</th> <th colspan="2">Repurchase</th> </tr> </thead> <tbody> <tr> <td>₹ 5,000 and in multiples of ₹ 1/- thereafter</td> <td>NA</td> <td colspan="2">NA</td> </tr> <tr> <th colspan="4">During ongoing offer period</th> </tr> <tr> <th>Purchase</th> <th>Additional Purchase</th> <th colspan="2">Repurchase</th> </tr> <tr> <td>₹ 5,000 and in multiples of ₹ 1/- thereafter</td> <td>Rs. 100 and in multiple of Rs. 1/- thereafter</td> <td colspan="2">There will be no minimum redemption criteria</td> </tr> </tbody> </table> <p><b>For details on investments through SIP/STP facilities, please refer to the SID.</b></p>	During NFO period				Purchase	Additional Purchase	Repurchase		₹ 5,000 and in multiples of ₹ 1/- thereafter	NA	NA		During ongoing offer period				Purchase	Additional Purchase	Repurchase		₹ 5,000 and in multiples of ₹ 1/- thereafter	Rs. 100 and in multiple of Rs. 1/- thereafter	There will be no minimum redemption criteria													
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₹ 5,000 and in multiples of ₹ 1/- thereafter	Rs. 100 and in multiple of Rs. 1/- thereafter	There will be no minimum redemption criteria																																			
<b>Despatch of Redemption (Redemption) Requests</b>	The redemption proceeds shall be dispatched to the unit holders within 10 working days from the receipt of the redemption request at the Authorised Center of Axis Mutual Fund.																																				
<b>Benchmark Index</b>	S&P BSE-200 Index																																				
<b>Dividend Policy</b>	The Trustee will endeavor to declare the Dividend as specified, subject to availability of distributable surplus calculated in accordance with the Regulations. The actual declaration of Dividend and frequency will inter-alia, depend on availability of distributable surplus calculated in accordance with SEBI (MF) Regulations and the decisions of the Trustee shall be final in this regard. There is no assurance or guarantee to the Unit holders as to the rate of Dividend nor that will the Dividend be paid regularly.																																				
<b>Name of the Fund Manager</b>	Mr. Jinesh Gopani & Mr. Hitesh Das (for Foreign Securities) (Tenure of Managing the Scheme as Fund Manager - Since Inception)																																				
<b>Additional Scheme related disclosure as per SEBI Circular dated March 18, 2016</b>	a) Scheme’s portfolio holdings, Fund allocation towards various Sectors & Portfolio Turnover - Not applicable as the scheme is a new fund to be launched. b) Website link for Monthly Portfolio Holding - Please visit www.axismf.com to obtain Scheme’s latest monthly portfolio holding statement.																																				
<b>Name of the Trustee Company</b>	Axis Mutual Fund Trustee Limited																																				
<b>Performance of the scheme</b>	This Scheme is a new scheme and does not have any performance track record.																																				
<b>Expenses of the Scheme</b>	(i) <b>Load Structure</b> For the New Fund Offer Period and Continuous Offer Entry load : Not Applicable																																				

	<p>Exit load : If redeemed / switched-out on or before 12 months from the date of allotment, For 10% of investments: Nil. For remaining investments: 1 %. If redeemed / switched - out after 12 months from the date of allotment: NIL</p> <p>The above mentioned load structure shall be equally applicable to the special products such as SIP, STP, SWP, etc. offered by the AMC. Units issued on reinvestment of Dividends shall not be subject to Load. No load shall be levied on switches between options and sub-options of the Scheme.</p> <p>For switches between the Plans i.e. between Regular and Direct Plan or vice versa, load will be charged by the scheme.</p> <p>Exit load charged to the investors will be credited back to the scheme net of GST. The Investor is requested to check the prevailing Load structure of the Scheme before investing.</p> <p>SEBI vide its circular no. SEBI/IMD/CIR No. 4/ 168230/09 dated June 30, 2009 has decided that there shall be no entry Load for all Mutual Fund Schemes. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered Distributor) directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.</p> <p>The Trustee/AMC reserves the right to change / modify the Load structure from a prospective date.</p> <p><b>(ii) Recurring expenses</b></p> <p>The recurring expenses under the Scheme (including the Investment Management and Advisory Fees) shall be as per the limits prescribed under the SEBI (MF) Regulations. These are as follows:</p> <p>On the first Rs. 100 crores of the daily net assets - 2.5% On the next Rs. 300 crores of the daily net assets - 2.25% On the next Rs. 300 crores of the daily net assets – 2 % On the balance of the assets - 1.75%</p> <p>AMC fees charged by Axis AMC to the scheme will be within the Total Expense Limit as prescribed by SEBI Regulations, as amended from time to time.</p> <p>Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc. and no commission for distribution of Units will be paid/ charged under Direct Plan.</p> <p>The total expenses of the Scheme including the investment management and advisory fee shall not exceed the limit stated in Regulation 52(6) of the SEBI (MF) Regulations.</p> <p>In addition to the limits as specified in Regulation 52(6) of SEBI (Mutual Funds) Regulations 1996 ['SEBI Regulations'] or the Total Recurring Expenses (Total Expense Limit) as specified above, the following costs or expenses may be charged to the scheme namely-</p> <p>(a) expenses not exceeding of 0.30 per cent of daily net assets, if the new inflows from such cities as specified by SEBI/AMFI from time to time are at least -</p> <p>(i) 30 per cent of gross new inflows in the scheme, or;</p> <p>(ii) 15 per cent of the average assets under management (year to date) of the scheme, whichever is higher.:</p> <p>Provided that if inflows from such cities is less than the higher of sub-clause (i) or sub- clause (ii), such expenses on daily net assets of the scheme shall be charged on proportionate basis.</p> <p>Provided further that, expenses charged under this clause shall be utilised for distribution expenses incurred for bringing inflows from such cities.</p> <p>Provided further that amount incurred as expense on account of inflows from such cities shall be credited back to the scheme in case the said inflows are redeemed within a period of one year from the date of investment.</p> <p>(b) additional expenses, incurred towards different heads mentioned under Regulations 52(2) and 52(4), not exceeding 0.05 per cent of daily net assets of the scheme;</p> <p>(c) Goods &amp; Service Tax (GST) payable on investment and advisory service fees ('AMC fees') charged by Axis Asset Management Company Limited ('Axis AMC');</p> <p>Further, brokerage and transaction costs which are incurred for the purpose of execution of trade and is included in the cost of investment shall not exceed 0.12 per cent in case of cash market transactions and 0.05 per cent in case of derivatives transactions.</p> <p>Within the Total Expense Limit chargeable to the scheme, following will be charged to the Scheme:</p> <p>(a) GST on other than investment and advisory fees, if any, (including on brokerage and transaction costs on execution of trades) shall be borne by the Scheme</p> <p>(b) Investor education and awareness initiative fees of at least 2 basis points on daily net assets of respective Scheme.</p> <p>AMC fees charged by Axis AMC to the Scheme will be within the Total Expense Limit as prescribed by SEBI Regulations, as amended from time to time, with no sub-limit on said AMC fees.</p> <p>Any expenditure in excess of the SEBI regulatory limits shall be borne by the AMC or the Sponsor.</p> <p>The current expense ratios will be updated on the AMC website viz. <a href="http://www.axismf.com">www.axismf.com</a> at least three working days prior to the effective date of the change. The exact weblink of the heads under which TER is disclosed is : <a href="https://www.axismf.com/Downloads.aspx">https://www.axismf.com/Downloads.aspx</a></p>		
<b>Waiver of Load for Direct Applications</b>	Not applicable		
<b>Tax treatment for Investors (Unitholders)</b>	Investors are advised to refer to the paragraph on Taxation in the "Statement of Additional Information" and to consult their own tax advisors with respect to the specific amount of tax and other implications arising out of their participation in the scheme.		
<b>Daily Net Asset Value (NAV) Publication</b>	The NAV will be declared on all business days. NAV can also be viewed on <a href="http://www.axismf.com">www.axismf.com</a> and <a href="http://www.amfiindia.com">www.amfiindia.com</a> [You can also telephone us at 1800 221322 or 1800 3000 3300.]		
<b>For Investor Grievances please contact</b>	<table border="1"> <tr> <td data-bbox="336 1528 727 1671"><b>Name and Address of Registrar</b> Karvy Computershare Private Limited Unit – Axis Mutual Fund Karvy Selenium, Tower B, Plot number 31 &amp; 32, Financial District, Gachibowli, Hyderabad - 500008. Tel : 040 - 33211000</td> <td data-bbox="727 1528 1497 1671"><b>Name, address, telephone number, fax number, E-mail ID of the Mutual Fund</b> Mr. Milind Vengurlekar Axis House, First Floor, C-2, Wadia International Centre, Pandurang Budhkar Marg, Worli, Mumbai - 400025. India. TEL 022 4325 4123. E-MAIL <a href="mailto:customerservice@axismf.com">customerservice@axismf.com</a> FAX 022 4325 5199. TOLL FREE 1800-3000-3300</td> </tr> </table>	<b>Name and Address of Registrar</b> Karvy Computershare Private Limited Unit – Axis Mutual Fund Karvy Selenium, Tower B, Plot number 31 & 32, Financial District, Gachibowli, Hyderabad - 500008. Tel : 040 - 33211000	<b>Name, address, telephone number, fax number, E-mail ID of the Mutual Fund</b> Mr. Milind Vengurlekar Axis House, First Floor, C-2, Wadia International Centre, Pandurang Budhkar Marg, Worli, Mumbai - 400025. India. TEL 022 4325 4123. E-MAIL <a href="mailto:customerservice@axismf.com">customerservice@axismf.com</a> FAX 022 4325 5199. TOLL FREE 1800-3000-3300
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<b>Unitholder's Information</b>	<p><b>Account Statements:</b></p> <p>On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted by way of e-mail and/or SMS within 5 business days from the date of receipt of transaction request/ allotment will be sent to the unit holders registered e-mail address and/or mobile number.</p> <p><b>Consolidated Account Statement (CAS):</b></p> <p>CAS is an account statement detailing all the transactions and holding at the end of the month including transaction charges paid to the distributor, across all schemes of all mutual funds. CAS issued to investors shall also provide the total purchase value/cost of investment in each scheme.</p> <p>Further, CAS issued for the half-year (September/ March) shall also provide</p> <p>a. The amount of actual commission paid by AMC/Mutual Fund to distributors (in absolute terms) during the half-year period against the concerned investor's total investments in each scheme.</p> <p>b. The Scheme's average Total Expense Ratio (in percentage terms) for the half-year period, of both direct plan and regular plan, for each scheme where the concerned investor has invested in.</p> <p>The word transaction will include purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan and systematic transfer plan.</p>		

- a) For Unitholders not holding Demat Account:**  
CAS for each calendar month shall be issued, on or before tenth day of succeeding month by the AMC.  
The AMC shall ensure that a CAS for every half yearly (September/ March) is issued, on or before tenth day of succeeding month, detailing holding at the end of the six month, across all schemes of all mutual funds, to all such investors in whose folios no transaction has taken place during that period.  
The AMC shall identify common investors across fund houses by their Permanent Account Number (PAN) for the purposes of sending CAS. In the event the account has more than one registered holder, the first named Unit Holder shall receive the Account Statement.  
The AMC will send statement of accounts by e-mail where the Investor has provided the e-mail id. Additionally, the AMC may at its discretion send Account Statements individually to the investors.
- b) For Unitholders holding Demat Account:**  
SEBI vide its circular no. CIR/MRD/DP/31/2014 dated November 12, 2014, in order to enable a single consolidated view of all the investments of an investor in Mutual Fund and securities held in demat form with Depositories, has required Depositories to generate and dispatch a single CAS for investors having mutual fund investments and holding demat accounts.  
In view of the aforesaid requirement, for investors who hold demat account, for transactions in the schemes of Axis Mutual Fund on or after February 1, 2015, a CAS, based on PAN of the holders, will be sent by Depositories to investors holding demat account, for each calendar month within 10th day of the succeeding month to the investors in whose folios transactions have taken place during that month.  
CAS will be sent by Depositories every half yearly (September/March), on or before 10th day of succeeding month, detailing holding at the end of the six month, to all such investors in whose folios and demat accounts there have been no transactions during that period.  
CAS sent by Depositories is a statement containing details relating to all financial transactions made by an investor across all mutual funds viz. purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan (including transaction charges paid to the distributor) and transaction in dematerialized securities across demat accounts of the investors and holding at the end of the month.  
In case of demat accounts with nil balance and no transactions in securities and in mutual fund folios, the depository shall send account statement in terms of regulations applicable to the depositories. Investors whose folio(s)/ demat account(s) are not updated with PAN shall not receive CAS.  
Consolidation of account statement is done on the basis of PAN. Investors are therefore requested to ensure that their folio(s)/ demat account(s) are updated with PAN. In case of multiple holding, it shall be PAN of the first holder and pattern of holding.  
For Unit Holders who have provided an e-mail address to the Mutual Fund or in KYC records, the CAS is sent by e-mail. However, where an investor does not wish to receive CAS through email, option is given to the investor to receive the CAS in physical form at the address registered in the Depository system.  
Investors who do not wish to receive CAS sent by depositories have an option to indicate their negative consent. Such investors may contact the depositories to opt out. Investors who do not hold demat account continue to receive CAS sent by RTA/AMC, based on the PAN, covering transactions across all mutual funds as per the current practice.  
In case an investor has multiple accounts across two depositories; the depository with whom the account has been opened earlier will be the default depository.  
The dispatches of CAS by the depositories constitute compliance by the AMC/ the Fund with the requirement under Regulation 36(4) of SEBI (Mutual Funds) Regulations. However, the AMC reserves the right to furnish the account statement in addition to the CAS, if deemed fit in the interest of investor(s).  
Investors whose folio(s)/demat account(s) are not updated with PAN shall not receive CAS. Investors are therefore requested to ensure that their folio(s)/demat account(s) are updated with PAN.  
For folios not included in the CAS (due to non-availability of PAN), the AMC shall issue monthly account statement to such Unit holder(s), for any financial transaction undertaken during the month on or before 10th of succeeding month by mail or email.  
For folios not eligible to receive CAS (due to non-availability of PAN), the AMC shall issue an account statement detailing holding across all schemes at the end of every six months (i.e. September/March), on or before 10th day of succeeding month, to all such Unit holders in whose folios no transaction has taken place during that period shall be sent by mail/e-mail.
- Annual Report:**  
The Scheme annual report or an abridged summary thereof shall be mailed (emailed, where e mail id is provided unless otherwise required) to all Unit holders not later than four months (or such other period as may be specified by SEBI from time to time) from the date of closure of the relevant accounting year (i.e. 31st March each year) and full annual report shall be available for inspection at the Head Office of the Mutual Fund and a copy shall be made available to the Unit holders on request on payment of nominal fees, if any. Scheme wise annual report shall also be displayed on the website of the Mutual Fund ([www.axismf.com](http://www.axismf.com)) and on the website of Association of Mutual Funds in India ([www.amfiindia.com](http://www.amfiindia.com)).  
Unitholders whose email addresses are not registered with the Mutual Fund may 'opt-in' to receive a physical copy of the annual report or an abridged summary thereof.  
Further, AMC shall provide a physical copy of the abridged summary of the Annual Report, without charging any cost, on a specific request received from a unitholder.  
AMC shall also publish an advertisement every year, in an all India edition of one national English daily newspaper and in one Hindi newspaper, disclosing the hosting of the scheme wise annual report on the website of the Mutual Fund and AMFI and the modes through which a unitholder can submit a request for a physical or electronic copy of the annual report or abridged summary thereof.
- Half yearly disclosures:**  
The AMC will disclose the portfolio of the Scheme (along with ISIN) as on the last day of the month / half year on the website of the Mutual Fund and AMFI within 10 days from the close of each month/ half year (i.e. 31st March and 30th September) respectively in a user-friendly and downloadable spreadsheet format. Further, AMC shall publish an advertisement in an all India edition of one national English daily newspaper and one Hindi newspaper, every half year, disclosing the hosting of the half-yearly statement of its schemes' portfolio on the website of the Mutual Fund and AMFI and the modes through which unitholder(s) can submit a request for a physical or electronic copy of the statement of scheme portfolio.  
The AMC will also provide a dashboard, in a comparable, downloadable (spreadsheet) and machine readable format, providing performance and key disclosures like Scheme's AUM, investment objective, expense ratios, portfolio details, scheme's past performance etc. on website.

Please refer Axis AMC website [www.axismf.com](http://www.axismf.com) for list of Official Point of Acceptance of Transactions for submission of transaction requests.

**Statutory Details:** Axis Mutual Fund has been established as a Trust under the Indian Trusts Act, 1882, sponsored by Axis Bank Ltd. (liability restricted to ₹1 Lakh).  
**Trustee:** Axis Mutual Fund Trustee Ltd. **Investment Manager:** Axis Asset Management Co. Ltd. (the AMC). **Risk Factors:** Axis Bank Ltd. is not liable or responsible for any loss or shortfall resulting from the operation of the scheme. **Mutual Fund investments are subject to market risks, read all scheme related documents carefully.**

# INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

Please read the SID carefully before signing the application form and tendering payment.

## 1. GENERAL INSTRUCTIONS

- The application form should be completed in ENGLISH and in BLOCK LETTERS.
- All cheques, demand drafts and pay orders should be crossed "Account Payee only" and made in favour of "Scheme Name A/c First Investor Name" or "Scheme Name A/c Permanent Account No."
- 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).
- Any over-writing / changes made while filling the form must be authenticated by canceling the original entry, re-entering correct details and ensuring that all applicants counter-sign against each correction.
- Application forms along with supporting documents can be submitted to ISCs / OPAs, contact details of which are available on [www.axismf.com](http://www.axismf.com).
- Investors must write the application form number / folio number on the reverse of the cheque / demand draft.
- Investors are requested to check contents of the account statement on receipt. Any discrepancy should be reported to the AMC / Registrar within 7 calendar days of the receipt of the statement; else contents of the statement would be presumed to be correct and binding. The AMC may modify any discrepancy at its discretion.
- Units will be allotted subject to realization of payment proceeds.
- Unitholder / Guardian name should be same as per PAN / KYC records. Please note that AMC at discretion may replace the name as per KRA.
- FATCA Declaration: Individual investors, please fill in FATCA / CRS annexure and attach along with Application form. Non-Individual investors, please fill in UBO form along with FATCA / CRS annexure and attach along with Application form available on our website [www.axismf.com](http://www.axismf.com)

## 2. DIRECT INVESTMENTS

Investors subscribing under Direct Plan of the scheme will have to indicate "Direct Plan" against the scheme name in the application form e.g. "Axis Growth Opportunities Fund". Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the scheme name, the application will be processed under Direct Plan. Further, where application is received for Existing Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.

## 3. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIIN)

Investor investing through distributor shall mention EUIIN on the application form, if he/she has been advised by Sales Person/ Employee/ Relationship Manager of the distributor this would assist in addressing any instance of mis-selling. If left blank, applicant(s) need to tick and sign the following declaration "I/We hereby confirm that the EUIIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker." on the form. SEBI has made it mandatory to obtain EUIIN no. for every employee/ relationship manager/ sales person of the distributor for selling mutual fund products.

## 4. DECLARATION AND SIGNATURES

- Thumb impressions must be attested by a Magistrate / Notary Public under his / her official seal.
- In case of HUF, the Karta needs to sign on behalf of the HUF.
- Applications by minors should be signed by their guardian.
- For Corporates, signature of the Authorised Signatory (from the Authorised Signatory List (ASL)) is required.

## 5. PAYMENTS

- The AMC intends using electronic payment services (NEFT, RTGS, ECS (Credit), Direct Credit, etc.) to the extent possible for dividends / redemptions for faster realization of proceeds to investors. In case an investor wishes to receive payments vide cheques / demand drafts to be sent using a postal / courier service, please provide appropriate written instructions to the AMC / Registrar for the same.
- Please enclose a cancelled cheque leaf (or copy thereof) in case your investment instrument (pay-in) is not from the same bank account as mentioned under bank account details.
- Any communication, dispatch of redemption / dividend proceeds / account statements etc. would be made by the Registrar / AMC as per reasonable standards of servicing.
- The Debit Mandate is an additional facility available to Axis Bank account holders only.

## 6. BANK DETAILS

It is mandatory for investors to mention bank account details on the form as per directives issued by SEBI. Applications without this information are liable to be rejected. The Mutual Fund / AMC reserve the right to hold redemption proceeds in case requisite bank details are not submitted.

Option to register multiple bank accounts

The AMC / Mutual Fund has also provided a facility to investors to register multiple bank accounts. By registering multiple bank accounts, investors can use any of their registered bank accounts to receive redemption / dividend proceeds. Any request for a change in bank mandate requires 10 days for validation and verification. Further, these account details will be used by the AMC / Mutual Fund / R&T for verification of instruments (like cheques/DDs/POs) received at the time of subscription / purchase applications to ensure that subscription payments are received only from one of the registered bank accounts. Payments from non-registered bank accounts (called third party payments) will not be accepted (except where permitted as per SEBI regulations). Investors are requested to avail of this facility by filling in the application form for registration of multiple bank accounts available at any of our ISCs / OPAs or on our website [www.axismf.com](http://www.axismf.com).

Cheques submitted at the time of purchase should be from the beneficiary investors account or from an account mentioned in your Multiple Bank Accounts Registration form (except for minors for amounts less than ₹ 50,000 and Corporates / non-individuals).

Demand drafts submitted at the time of subscription should be accompanied by a banker's certificate clearly stating the investor's name and PAN as well as mentioning that the demand draft has been issued by debiting the investor's own bank account. Pre-funded instruments issued by the bank against cash shall not be accepted for investments of ₹ 50,000 or more. This pre-funded instrument should also be accompanied by a certificate from the banker giving the investor's name, address and PAN.

Payments made through RTGS/NEFT/NECS should be accompanied by a banker's certificate stating that the RTGS/NEFT/NECS payment has been made by debiting the investor's own bank account along with mention of the investor's name and PAN.

## 7. THIRD PARTY PAYMENTS

When payment is made through instruments issued from a bank account other than that of the investor, the same is referred to as a Third Party payment. Where an investor has opted to register multiple bank accounts (using the 'Multiple Bank Accounts Registration Form'), and purchase payment is made from an account different from what is registered, any one of the following documents need to be provided as proof along with the payment instrument.

- Banker's certificate stating that the investment is from the investor's own bank account along with mention of his name and PAN
- Bank account passbook or statement mentioning the investor's name / PAN

Restriction on acceptance of Third Party payments for subscriptions, and exceptions thereto

- In case of payments from a joint bank account, one of the joint holders of the bank account must be the first account holder under the investment application.
- The Asset Management Company shall not accept subscriptions with Third Party payments except in the following situations:
  - Where payment is made 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 ₹ 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.
  - Where payment is made by an employer on behalf of an employee under Systematic Investment Plans through payroll deductions.
  - Custodian on behalf of an FII or a client.

Documents to be submitted for exceptional cases

- KYC is mandatory for all investors (guardian in case of minor) and the person making the payment i.e. the third party. Investors and the person making the payment should attach their valid KYC acknowledgement letter to the application form.
- Submission of a separate, complete and valid 'Third Party Payment Declaration Form' from the investors (guardian in case of minor) and the person making the payment i.e. third party. The said Declaration Form shall, inter-alia, contain the details of the bank account from which the payment is made and the relationship with the investor(s). Please contact the nearest OPA/ISC of Axis Mutual Fund or visit our website [www.axismf.com](http://www.axismf.com) for the declaration form.

## 8. KYC

All Applicants (including POAs and Guardians) are required to be KYC compliant irrespective of the amount of investment. In case you are not KYC certified, please fill in the KYC form (individual or Non-Individual). A KYC acknowledgement letter should be submitted along with application for opening a folio or making an investment. Each holder in the folio must be KYC compliant.

Investors may kindly note that new SEBI Circular issued regarding uniformity in the KYC process was effective from January 1, 2012.

- SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries, new Investors are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are available on our website [www.axismf.com](http://www.axismf.com).
- The Mutual Fund shall perform the initial KYC of its new investors and shall also accept the details change form for investors who have done their KYC prior to 31st Dec11.
- It is mandatory to carry out In-Person Verification(IPV) for processing the KYC of its new / existing investors from January 1, 2012.
- Once the KYC and IPV-In Person Verification has been done with any SEBI registered intermediary, the investor need not undergo the same process again with any another intermediary including mutual funds. However, the Mutual Fund reserves the right to carry out fresh KYC/additional KYC of the investor.
- Existing KYC compliant investors of the Mutual Fund can continue to invest as per the current practice.
- Non-individual investors will have to do a fresh KYC due to significant changes in KYC requirements.
- In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/networth and Politically Exposed Person (PEP)\* status mentioned under section 2 & 3 which was forming part of uniform KYC form will now be captured in the application form of the Fund. Also, the detail of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc.,(applicable for first/sole applicant) is required to be provided as part of Client Due Diligence (CDD) Process of the Fund.

The said details are mandatory for both Individual and Non Individual applicants.

\*PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

Subsequently, SEBI, vide its circular no. MIRSD/Cir-5/2012 dated April 13, 2012 advised various intermediaries to upload KYC data of its existing customers into the KRA system. While uploading KYC data into the KRA system, intermediaries were also required to highlight such 'Missing/Not Available' KYC information of a customer, which was either not required or not taken previously, but was mandatory as per uniform KYC guidelines issued by SEBI.



# INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM (Contd.)

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In accordance with AMFI Best practices guidelines circular no. 62/2015-16 dated September 18, 2015, investors may note the following:

It is mandatory for all new/existing investors to provide additional KYC information such as Income details, Occupation, association with politically exposed person, net worth etc. as mentioned in the application form. Subscription requests, without providing these details, are liable to be rejected. No subscriptions (whether fresh or additional) and switches pertaining to 'KYC on-hold' cases are accepted, unless the investor / unitholder also submits relevant KYC missing / updated information, which is appropriately updated on the KRA - KYC.

Further, it is mandatory for existing customers to complete In-Person Verification process and provide the missing KYC information failing which their applications / transaction requests for additional subscription (including switches) is liable to be rejected.

## 8A Operationalisation of Central KYC Records Registry (CKYCR)

Central Registry of Securitisation and Asset Reconstruction and Security interest of India ('CERSAI') has been authorised by Government of India to act as Central KYC Records Registry under Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 ('PMLA Rules').

SEBI vide its circular ref. no. CIR/MIRSD/66/2016 dated July 21, 2016 and circular ref. no. CIR/MIRSD/120/2016 dated November 10, 2016 has prescribed that the Mutual Fund/ AMC should capture KYC information for sharing with CKYCR as per the KYC template prescribed by CERSAI for uniform and smooth implementation of CKYC norms for onboarding of new investors in mutual funds.

In accordance with the aforesaid SEBI circulars and AMFI best practice guidelines for implementation of CKYC norms with effect from February 1, 2017:

- Individual investors who have never done KYC process under KRA regime i.e. a new investor who is new to KRA system and whose KYC is not registered or verified in the KRA system shall be required to provide KYC details in the CKYC Form to the Mutual Fund/ AMC.
- Individual investor who fills old KRA KYC Form, should provide additional / missing information using Supplementary KYC Form or fill CKYC Form.
- Details of investors shall be uploaded on the system of CKYCR and a 14 digit unique KYC identifier ('KIN') will be generated for such customer.
- New investors, who have completed CKYC process & have obtained KIN may quote their KIN in the application form instead of submitting CKYC Form/ Supplementary KYC Form.
- AMC/ Mutual Fund shall use the KIN of the investor to download the KYC information from CKYCR system and update its records.
- If the PAN of investor is not updated on CKYCR system, the investor should submit self-certified copy of PAN card to the Mutual Fund/ AMC.

The CKYC Form and Supplementary KYC Form are available at Investor Service Centre (ISC) of Axis Mutual Fund and on website www.axismf.com.

The AMC reserves the right to reject transaction application in case the investor(s) fails to submit information and/or documentation as mentioned above. In the event of non compliance of KYC requirements, the Trustee / AMC reserves the right to freeze the folio of the investor(s).

## 9. ULTIMATE BENEFICIAL OWNERS(S)

SEBI vide its circular no. CIR/MIRSD/2/2013 dated January 24, 2013 further read with AMFI Best practices guidelines circular no. 62/2015-16 dated September 18, 2015 and other applicable regulations and guidelines, for identification of Beneficial Ownership to be followed by the intermediaries for determination of beneficial owners. A 'Beneficial owner' is defined as a natural person or persons who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement. In this regard, all categories of investors (including all new / existing investors / unitholders) (except individuals, companies listed on a stock exchange or majority-owned subsidiary of such companies) are mandatorily required to provide beneficial ownership details for all investments. Failing which, fund reserves the right to reject applications / subscription requests / additional subscription requests (including switches) / restrict further investments or seek additional information from investors who have not provided the requisite information on beneficial ownership. In the event of change in beneficial ownership, investors are requested to immediately update the details with the Fund/Registrar.

## 10. PERMANENT ACCOUNT NUMBER (PAN)

Each applicant is required to submit self attested PAN Card Copy (Including Guardian in case of Minor and POA holders). However PAN is not mandatory in case of Investors residing in the State of Sikkim, Central & State Government officials and officials appointed by the Courts e.g. Official Liquidator, Court receiver etc. (under the category of Government) subject to Axis AMC confirming the above mentioned status.

### PAN Exempt Investments

SEBI vide its circular dated 24th July 2012, conveyed that the investments aggregating ₹ 50,000 in a rolling 12 month period or in a financial year i.e. April to March, in all the schemes of Mutual Funds are exempt from the PAN requirement.

Where the aggregate of the Lumpsum Investment (Fresh Purchase & Additional Purchase) and Micro SIP installments by an investor based on the rolling 12 month period/ in a financial year i.e. April to March does not exceed ₹ 50,000/-, it shall be exempt from the requirement of PAN, (hereafter referred to as "Micro Investments").

PAN requirement exemption will be available only to Micro Investments made by the individuals being Indian Citizens (Including NRIs, Joint Holders\*, Minor acting through Guardian and Sole proprietor firms not having PAN). Person of Indian Origin, Hindu Undivided Family, (HUF), Qualified Foreign Investor (QFI) and other categories of investors will not be eligible for this exemption. However the eligible investors are required to submit PAN exempt KYC issued by SEBI registered KRA (KYC Registration Authority). \* In case of joint holders, first holder must not possess a PAN.

## 11. APPLICATIONS ON BEHALF OF MINORS

Where the investment is on behalf of a Minor by the Guardian:

- The Minor shall be the first and sole holder in the account.
- No Joint holders are allowed. In case an investor provides joint holder details, these shall be ignored.
- Guardian should be either a natural guardian (i.e. father or mother) or a court appointed legal guardian.

- Guardian should mention the relationship with Minor and date of birth of the Minor on the application form.
- A document evidencing the relationship and date of birth of the Minor should be submitted along with the application form. Photo copy of any one of the following documents can be submitted a) Birth certificate of the minor or b) school leaving certificate / mark sheet of Higher Secondary board of respective states, ICSE, CBSE etc. c) Passport of the minor d) Any other suitable proof evidencing the relationship.
- Where the guardian is not a natural guardian (father or mother) and is a court appointed legal guardian, suitable supporting documentary evidence should be provided.
- If the mandatory details and/or documents are not provided, the application is liable to be rejected without any information to the applicant.

## 12. APPLICATIONS UNDER POWER OF ATTORNEY

An applicant wanting to transact through a power of attorney must lodge the photocopy of the Power of Attorney (PoA) attested by a Notary Public or the original PoA (which will be returned after verification) within 30 days of submitting the Purchase Application Form / Transaction Slip at a Designated ISC / Official Point of Acceptance, or along with the application in case of application submitted duly signed by POA holder. Applications are liable to be rejected if the power of attorney is not submitted within the aforesaid period.

## 13. SIP matlab SLEEP IN PEACE (SYSTEMATIC INVESTMENT PLAN)

- A minimum gap of 21 days and not more than 90 days needs to be maintained between date of Application & SIP start date. During NFO, subsequent SIP debit date would be effective from 01 December 2018 onwards.
- Investor shall have the option of choosing any date of the month as the SIP date except the dates 29th, 30th and 31st. If SIP debit date is not mentioned default date would be considered as 7th of every month. If selected 29th, 30th or 31st, default SIP date would be considered as 28th of every month.
- All SIP installment cheques/payment instructions must be of the same amount and the same monthly debit date (excluding first cheque).
- The SIP will be discontinued automatically if payment is not received for three successive installments.
- Investors can discontinue a SIP at any time by sending a written request to any Official Point of Acceptance or to the registrar Karvy. Notice of such discontinuance should be received at least 20 days prior to the next due date of the installment / debit.
- In case payment is made using "At Par" cheques, investors must mention the MICR number of his bank branch. Where he hold's the bank account.
- An Investor will not hold Axis Mutual Fund, its registrars and / or service providers responsible if a transaction is delayed or not effected, or the investor bank account is debited in advance or after the specific SIP date because of the various clearing cycles of RBI's Electronic Clearing Facility (ECS) / Bank holiday. Axis Mutual Fund, its registrars and other service providers shall not be held responsible or liable for damages / compensation / loss incurred by the investor as a result of using the SIP or ECS / Auto debit facility.
- Please refer below table for min. no. of installments and minimum amount per installments:

Scheme	Monthly		Yearly	
	Minimum Amount (₹)	Minimum Installments	Minimum Amount (₹)	Minimum Installments
Axis Growth Opportunities Fund	1000	12	12000	3

**Note:** For all scheme minimum amount is as per above table and thereafter in multiple of ₹ 1.

- If the period is not specified by the unit holder on the SIP section then the SIP enrollment will be consider from the upcoming month (Gap of 21 days) till perpetuity (December 2099).
- If no amount is mentioned minimum scheme amount would be considered. Please refer KIM & SID of the respective scheme.

Change of Debit Bank Details (SIP Auto Debit Form)

- Investor can change debit bank details mentioned on SIP Auto Debit form by ticking the check box provided on the form and attaching signed cancelled cheque of the new bank along with the mandate.
- The cheque copy should have the investor's name printed on it.
- A minimum gap of 21 days is required for incorporation of new bank details.
- In case of change of debit bank details the investor needs to provide the new bank details on mandate and SIP start date should be in continuation with the SIP cycle and end date will remain the same.
- Except new debit bank details rest of the details i.e. SIP period, amount etc. will remain same as the original SIP investment.

## 14. NATIONAL AUTOMATED CLEARING HOUSE (NACH)

NACH is a funds clearing platform set up by NPCI similar to the existing ECS of RBI. NPCI has implemented NACH for Banks, Financial Institutions, Corporates and Government a web based solution to facilitate interbank, high volume, electronic transactions which are repetitive and periodic in nature.

### National Payments Corporation of India (NPCI)

NPCI was set up by Indian Banks Association under a mandate from the Reserve Bank of India in 2008. It is the umbrella organization for all retail payment systems. NPCI would provide robust payment solutions to banks and financial institutions across India.

## 15. AUTO DEBIT PARTNERING BANKS

**Partnering Banks:** Axis Bank, Federal Bank, HDFC Bank, ICICI Bank, Punjab National Bank, State Bank of India & Union Bank Of India.

## 16. NRIs, FIs

- Repatriation basis
  - NRIs: Payment may be made either by inward remittance through normal banking channels, or from funds held in a Non-Resident (External) Rupee Account (NRE) / Foreign Currency (Non-Resident) Account (FCNR). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts, an account debit certificate from the bank issuing the draft confirming the debit will need to be enclosed.
  - FIs can pay their subscription either by inward remittance through normal banking channels or from funds held in Foreign Currency Account or Non-

# INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM (Contd.)

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Resident Rupee Account maintained by the FII with a designated branch of an authorised dealer.

III. Axis Mutual Fund has decided to restrict subscriptions from U.S. Persons (including NRIs and all persons residing in U.S., U.S Corporations or other entities organized under the laws of U.S) and Residents of Canada in the Schemes of Axis Mutual Fund.

b. Non-repatriation basis

In the case of NRIs, payment may be made either by inward remittance through normal banking channels or out of funds held in a NRE / FCNR / Non-Resident Ordinary Rupee Account (NRO). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts, an account debit certificate from the bank issuing the draft confirming the debit will need to be enclosed.

c. TDS where ever applicable would be rounded off to the Rupee.

## 17. ELECTRONIC SERVICES

The AMC provides electronic transaction services through its website and over the phone.

a. **KTRACK:** Transactions through electronic platform(s) of Karvy Computershare Pvt. Ltd. (effective from January 2, 2017): Investors will be allowed to transact through www.karvymfs.com, an electronic platform provided by M/s. Karvy Computershare Pvt. Ltd. ('Karvy'), Registrar & Transfer Agent, in Schemes of Axis Mutual Fund ('Fund') (except Axis Gold ETF). The facility will also be available through mobile application of Karvy i.e. 'KTRACK'.

b. **Online Schedule Transaction Facility ('the OST facility' / 'the Facility'):**

The OST facility shall enable Investors to schedule subscription / redemption / switch transaction(s) on specified date for specified amount/ units by giving online instruction.

The terms and conditions of the OST facility shall be as under:

1. The Facility is available to the existing Investors of open ended schemes of Axis Mutual Fund (except Axis Gold ETF), subject to completion of lock-in, if any. Further, subscription transaction in Axis Liquid Fund, will not be allowed to be executed using the Facility.
2. The Facility is available only to Individual (including sole proprietor) Investors for units held in / subscription in physical mode.
3. The Facility for subscription transaction would be available to Investors after completion of OTM Mandate / Easycall mandate/ equivalent mandate registration process.
4. Under the Facility the transaction can be scheduled to be executed on a specified date which shall be within 30 calendar days from the date of the instruction. Such specified date shall be a business day. In case the scheduled transaction date falls on a nonbusiness day, the transaction will be executed on the immediately following business day.
5. The Facility shall be available on online transaction platform(s) viz website of Axis AMC i.e. www.axismf.com. Axis AMC may extend the Facility to other transaction platforms from time to time, at its discretion.
6. The scheduled transaction may be cancelled by giving suitable instruction atleast one calendar day prior to the scheduled transaction date.
7. The triggered transaction on the scheduled date shall be considered as time stamped and will be executed on the specified date at the applicable NAV of the relevant scheme.
8. The scheduled transaction(s) shall be subjected to exit load, minimum subscription/ additional subscription application and other terms and conditions of the relevant scheme as per SID applicable on the specified date.
9. The scheduled transaction shall be liable to be rejected if sufficient amount is not available for subscription or sufficient number of units / amount is not available for redemption.
10. Redemption transactions will not be executed in case units are pledged or where lien is marked on units, at the time of online instruction / on specified date;
11. Investors availing this facility shall acquaint themselves with the features of the relevant scheme(s), including any modification / amendments carried out before the specified date.

The above is an additionally provided facility to the Investors to plan their transactions in schemes using online platforms.

c. **Email facility -** Applicants who provide their email address will receive communication by email. In case an investor wishes to receive a hard copy of an account statement or other document, he/she is requested to submit a request at customerservice@axismf.com or call us on 1800 221322 or 1800 3000 3300 From Monday to Friday - 8 AM to 7 PM On Saturday - 9 AM to 6 PM.

d. **SMS alerts facility -** Applicants who wish to receive transaction alerts on their mobile phone need to provide their mobile no.

e. **Online investment facility -** New or existing investors can invest with us online at www.axismf.com. To avail of this facility, applicants are requested to provide both their mobile no. and email address in the spaces provided.

f. **EasyCall Facility-New** or existing investors can buy or sell units of schemes over the phone without having to remember PINs and Passwords. To do so an investor must register for our unique Easy Call facility. By filling in the registration form available on www.axismf.com.

g. In case mobile no. & email ID is not provided on the application form then it will be capture as per KYC record.

## 18. NOMINATION

a. Nomination is mandatory for all the folios/accounts, where the mode of holding is single or the folio/account is opened by an individual without any joint holding. New subscriptions received from individuals without nomination will be rejected.

b. The nomination can be made only by individuals holding units on their own behalf singly or jointly. Non-Individuals including Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders must sign against the nomination.

c. Nomination is not allowed for folios/accounts opened in the name of minors.

d. A minor can be nominated against a folio/account. In such a case, the name and

address of the Guardian of the minor nominee must be provided. If no Guardian name is provided, the nomination of the minor will be invalid. The Guardian of the minor nominee should be a person other than the holder of that folio/account. Nomination can also be in favour of the Central Govt, State Govt, a local authority, any person designated by virtue of his office or a religious charitable trust.

e. The Nominee cannot be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of HUF or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.

f. Nomination stands rescinded upon transfer of units or cancellation of nomination.

g. The nomination facility extended under the Scheme is subject to existing laws. The AMC shall, subject to production of such evidence which in their opinion is sufficient, proceed to effect the payment / transfer to the Nominee(s) in the event of demise of the unit holder. Transfer of units / payment to the nominee(s) of the sums shall discharge Axis Mutual Fund / Axis AMC of all liability towards the estate of the deceased unit holder and his / her / their successors / legal heirs.

h. Cancellation of nomination can only be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination. (Please note that if one of the Joint Holders die, the other surviving holders cannot cancel or change the nomination.)

i. Nomination shall be registered only if the form is filled in completely.

j. Nomination will be updated at folio/account level and not at scheme level.

k. Nomination can be made for maximum of 3 nominees. In case of multiple nominees, the percentage of allocation / share in favour of each of the nominees should be indicated against their name and such allocation / share should be in whole numbers without any decimals making a total of 100 percent. In the event of unit holders not indicating the percentage of allocation / share for each of the nominees, the Mutual Fund / the AMC, by invoking default option shall settle the claim equally amongst all the nominees.

l. The investor(s) who nominate is / are deemed to have read and understood the provisions of Regulation 29 A of SEBI (Mutual Funds) Regulations, 1996, read with SEBI circular dated Feb. 16, 2004 and / or any amendments thereto or any rules / regulations framed in pursuance thereof governing the nomination facility and agree/s to be bound by the same.

m. Fresh nominee registrations will override older nominations under the folio.

n. In case an investor does not wish to nominate for a specific folio / account, he/she should strike off the nomination fields and mention "Nomination not required".

o. Even those investors who do not wish to nominate must sign separately confirming their non-intention to nominate.

## 19. DEMAT ACCOUNT DETAILS

If you wish to invest in the scheme through Demat you need to have a beneficiary account with a Depository Participant (DP) of the NSDL/CDSL and specify the same in this Application Form. You must ensure that the sequence of names with other details like address, PAN, etc mentioned under Demat details should match with DP records. Only those applications where the details are matched with the depository data, will be treated as valid application. If the details mentioned in the application are incomplete / incorrect, or does not match with the depository data, the applicant shall be treated as invalid and shall be liable to be rejected and would be allotted in Physical form. Demat option will be applicable for the applications along with SIP option.

Please attach Client Master List along with application form.

## 20. TRANSACTION CHARGE

As per SEBI circular dated August 22, 2011, Transaction Charge per subscription of ₹ 10,000/- and above shall be charged from the investors and shall be payable to the distributors/ brokers (who have not opted out of charging the transaction charge) in respect of applications routed through distributor/broker relating to Purchases / subscription / new inflows only (lumpsum and SIP), subject to the following:

- For Existing / New investors: ₹100 / ₹ 150 as applicable per subscription of ₹ 10,000/- and above.
- Transaction charge for SIP shall be applicable only if the total commitment through SIP amounts to ₹ 10,000/- and above. In such cases the transaction charge would be recovered in maximum 4 successful installments.
- There shall be no transaction charge on subscription below ₹ 10,000/-.
- There shall be no transaction charges on direct investments.
- There shall be no transaction charges for transaction other than purchases/subscriptions relating to new inflows such as Switches, etc.
- Transactions carried out through the Stock Exchange platforms for mutual funds shall not be subject to transaction charges.

The requirement of minimum application amount shall not be applicable if the investment amount falls below the minimum requirement due to deduction of transaction charges from the subscription amount.

However, the option to charge "transaction charges" is at the discretion of the distributors. Investors may note that distributors can opt to receive transaction charges based on type of the Scheme. Accordingly, the transaction charges would be deducted from the subscription amounts, as applicable.

21. A non-profit organization means any entity or organization that is registered as a Trust or a society under the Societies Registration Act, 1860 or any similar State legislation or a company registered under section 25 of the companies act, 1956 or under Section 8 of the Companies Act, 2013. NPOs are requested to submit a copy of certificate of registration under applicable laws (example Bombay Public Trust Act) and/ or certificate from Charity Commissioner (as applicable) and/ or copy of appropriate registration certificate under Income Tax Act.

## 22. MULTIPLE INVESTMENTS

1. Investor can make purchases in up to three schemes within the same Folio by making a single consolidated payment for the investments.
2. Multiple Investments facility is not available for Axis Children's Gift Fund, Axis Liquid Fund, Axis Gold ETF, Axis Nifty ETF, any closed ended schemes, and during NFO period.

# INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM (Contd.)

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3. Cheque/ DD/ Debit mandate should be drawn for Total Amount of investment in all three schemes.
4. The Cheque/ DD should be drawn favouring "Axis MF Multiple Schemes".
5. In case of payment through a Debit Mandate, please tick "Axis MF Multiple Schemes" only.
6. If the total amount of investments mentioned on the application is different from the amount mentioned on the accompanying Cheque / Demand Draft / Debit mandate, then the application is liable to be rejected.
7. Please mention all scheme/ plan/ option details in the table in section 7A of the form. If the scheme details are provided in any other format, the application is liable to be rejected.
8. Investments will be accepted subject to minimum investment criteria applicable for the schemes opted for investment. Even if one of the schemes specified for investment does not satisfy the minimum investment criteria, the application will be liable to be rejected for all schemes.
9. This facility is only available for Lumpsum purchases.

## 23. FOREIGN ACCOUNT TAX COMPLIANCE (FATCA)

**FATCA & CRS TERMS & CONDITIONS :** Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with Axis MF or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

**FATCA & CRS INSTRUCTIONS:** If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card 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.

Accordingly, the following aspects need to be adhered to:

- With effect from November 1, 2015 all investors will have to mandatorily provide the information and declarations pertaining to FATCA/CRS for all new accounts opened, failing which the application / transaction request shall be liable to be rejected.
- For all new accounts opened by investors, from September 1, 2015 till October 31, 2015, MFs need to obtain relevant FATCA declarations. These details / certification need to be obtained by December 31, 2015, particularly in cases where, after Indicia search, a positive match is found with any US indicia. If certification is not provided by an investor or the reasonableness of self-certification cannot be confirmed, the account is treated as reportable.
- Investors are requested to note that under the alternative procedure provided in Rule 114H(8) of the Income-tax Rules, 1962, the financial institutions were required to obtain FATCA/CRS self-certification and carry out due diligence in respect of all individual and entity accounts opened from 1st July 2014 to 31st August 2015. Such self-certification and documentation was required to be obtained by the financial institutions by an extended timeline of 31st August 2016. In the event that such self-certification were not received within this timeline, financial institutions were required to close the account and if the account were found to be a "reportable account", report the same. In view of the difficulties highlighted by stakeholders in complying with the provision for "closure" of financial accounts, the Ministry of Finance, Government of India vide Press Release dated 31st August 2016 extended the time line for closure (from 31 August 2016) until further notification.

Further to this, the Ministry of Finance, Government of India vide its Press release dated April 11, 2017 directed financial institutions to obtain the self-certification by April 30, 2017, failing which the accounts would need to be blocked. The transactions in such blocked folios would, be permitted only once the self-certification is obtained and due diligence completed. Investors are advised to complete their self-certification at the earliest to prevent being inconvenienced on account of blocking of any folio(s).

Investors are requested to provide all the necessary information / declarations to facilitate compliance, considering India's commitment to implement CRS and FATCA under the relevant international treaties.

Please consult your professional tax advisor for further guidance on your tax residency, if required.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS Indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND</li> <li>3. Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth</li> </ol>
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b>If no Indian telephone number is provided</b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b>If Indian telephone number is provided along with a foreign country telephone number</b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

## 24. Submission of Aadhar Number

Pursuant to requirement under Prevention of Money Laundering (Maintenance of Records) Rules, 2005, Aadhar number/ copy or Proof of enrolment for Aadhar is required to be submitted by/for the following:

- a. Individual investor(s) who is/are eligible to be enrolled for an Aadhar number.
- b. Managers, Officers or employees/persons holding an attorney to transact on behalf of Non – Individual investors.

Non submission/seeding of aadhar may make the folio(s) inoperative.

Investor(s) is/are required to give his/their consent for usage of Aadhaar number for purposes detailed in consent given under Declarations section of application form.

Further, Investors may kindly note that, if the name given in the application does not

match the name as appearing on the PAN Card/Aadhaar card, authentication, application may be liable to get rejected or further transactions may be liable to get rejected.

Purpose of usage of Aadhar number

The purpose of collection/usage of Aadhaar number including demographic information is to comply with applicable laws/rules/regulations and provision of the said data is mandatory as per applicable laws/rules/regulations. Post obtaining the Aadhaar number, Axis AMC/Registrar & Transfer Agent shall authenticate the same in accordance with the Aadhaar (Targeted Delivery of Financial and other Subsidies, Benefits and Services) Act, 2016. Axis AMC/Registrar & Transfer Agent shall receive investors' demographic information which shall be used only to comply with applicable laws/rules/regulations.

**FORM 1 - APPLICATION FORM FOR  
 AXIS GROWTH OPPORTUNITIES FUND - (AN OPEN-ENDED EQUITY  
 SCHEME INVESTING IN BOTH LARGE CAP AND MID CAP STOCKS)**

NFO opens : October 01, 2018 NFO closes : October 15, 2018

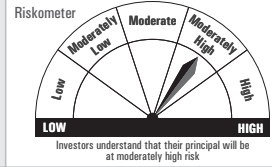


Application No. \_\_\_\_\_

This product is suitable for investors who are seeking \*

- Capital appreciation over long term.
- Investment in a diversified portfolio predominantly consisting of equity and equity related instruments both in India as well as overseas.

\* Investors should consult their financial advisers if in doubt about whether the product is suitable for them.



(PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM. All sections to be completed in ENGLISH in BLACK / BLUE COLOURED INK and in BLOCK LETTERS.)

Distributor ARN	Sub-Distributor ARN	Internal Sub-Broker / Sol ID	Employee Code	EUIN	RIA CODE^	Serial No., Date & Time Stamp
ARN	ARN			E		

Upfront commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor.

^I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/ portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Investment Adviser:

I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
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**TRANSACTION CHARGES FOR APPLICATIONS ROUTED THROUGH DISTRIBUTORS/AGENTS ONLY** (Refer Instruction No. 20)

I confirm that I am a first time investor across Mutual Funds. **OR**  I confirm that I am an existing investor in Mutual Funds.

In case the subscription (lumpsum) amount is ₹ 10,000/- or more and your Distributor has opted to receive Transaction Charges, ₹ 150/- (for first time mutual fund investor) or ₹ 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.

EXISTING INVESTOR'S FOLIO NUMBER	INVESTMENT TYPE (Please tick any one)	MODE OF HOLDING
(If you have an existing folio with KYC validated, please mention here and skip to section 6/7.) <input type="text"/>	<input type="checkbox"/> LUMP SUM <input type="checkbox"/> LUMP SUM WITH SIP	(in case of Demat Purchase Mode of Holding should be same as in Demat Account) <input type="checkbox"/> Single <input type="checkbox"/> Joint (Default) <input type="checkbox"/> Anyone or Survivor

**1 APPLICANT INFORMATION (MANDATORY)** (In case of investment "On behalf of Minor", Please Refer Instruction no. 11.)

**FIRST / SOLE APPLICANT** Mr. Ms. M/s. \_\_\_\_\_

PAN (Mandatory)  Date of Birth           CKYC No.            14 digit CKYC Number

Aadhaar No.  Mobile No.

Address

State  City  Pin Code

Email ID

I / we hereby prefer to 'OPT-IN' to receive physical copies of scheme Annual Report or Abridged summary.

**SECOND APPLICANT** Mr. Ms. M/s. \_\_\_\_\_

PAN (Mandatory)  Date of Birth           CKYC No.            14 digit CKYC Number

Aadhaar No.

**THIRD APPLICANT** Mr. Ms. M/s. \_\_\_\_\_

PAN (Mandatory)  Date of Birth           CKYC No.            14 digit CKYC Number

Aadhaar No.

**GUARDIAN DETAILS** (In case First / Sole Applicant is minor) / CONTACT PERSON - DESIGNATION / PoA HOLDER (In case of Non-individual Investors)

Mr. Ms. M/s. \_\_\_\_\_

PAN (Mandatory)  Date of Birth           CKYC No.            14 digit CKYC Number

Aadhaar No.  Mobile No.

Relationship Of Guardian (Refer Instruction No. 11)  Email ID

**6 DEBIT MANDATE** (For Axis Bank A/c only.) To be processed in CMS software under client code "AXISMF" **TO BE DETACHED BY KARVY & PRESENTED TO AXIS BANK CMS** Application No. \_\_\_\_\_

I/ We  Name of the account holder(s) \_\_\_\_\_ authorise you to debit my/our account no. \_\_\_\_\_ Account type  Savings  NRO  NRE  Current  FCNR  Others  Specify \_\_\_\_\_ to pay for the purchase of Axis Growth Opportunities Fund (An Open-ended Equity Scheme investing in both large cap and mid cap stocks)

Amount  (figures) \_\_\_\_\_ (words) \_\_\_\_\_

Signature of First Account Holder  Signature of Second Account Holder  Signature of Third Account Holder  Date

**ACKNOWLEDGMENT SLIP** Received subject to realisation, verification and conditions, an application for purchase of Units as mentioned in the application form. Application No. \_\_\_\_\_

From

Cheque no.	Date	Amount	Scheme

Stamp & Signature

**Proof of the Relationship with Minor**  Birth Certificate  School Certificate  Passport  Other \_\_\_\_\_ Specify

**TAX STATUS (Applicable for First / Sole Applicant)**

Resident Individual  FII's  NRI - NRO  HUF  Club / Society  PIO  Body Corporate  Minor  Government Body  Trust  NRI - NRE  Bank & FI  
 Sole Proprietor  Partnership Firm  QFI  Provident Fund  Others \_\_\_\_\_ Specify

**2 KYC DETAILS** (Refer Instruction No. 8. In case of investment "On behalf of Minor", Please Refer Instruction No. 11)

**OCCUPATION [Please tick (✓)]**

FIRST APPLICANT	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others
SECOND APPLICANT	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others
THIRD APPLICANT	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others

**GROSS ANNUAL INCOME [Please tick (✓)]**

FIRST APPLICANT	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore Net worth (Mandatory for Non - Individuals ₹ _____ as on DDMMYY [Not older than 1 year]
SECOND APPLICANT	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore OR Net Worth _____
THIRD APPLICANT	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore OR Net Worth _____

For Individuals	For Non-Individual Investors (Companies, Trust, Partnership etc.)
<input type="checkbox"/> I am Politically Exposed Person	Is the company a Listed Company or Subsidiary of Listed Company or Controlled by a Listed Company: <input type="checkbox"/> Yes <input type="checkbox"/> No (If No, please attach mandatory UBO Declaration)
<input type="checkbox"/> I am Related to Politically Exposed Person	Foreign Exchange / Money Charger Services <input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> I am not related to Politically Exposed Person	Gaming / Gambling / Lottery / Casino Services <input type="checkbox"/> Yes <input type="checkbox"/> No Money Lending / Pawning <input type="checkbox"/> Yes <input type="checkbox"/> No

**3 FATCA AND CRS DETAILS FOR INDIVIDUALS** (Including Sole Proprietor. Refer Instruction No. 23)

The below information is required for all applicants/guardian

	Place/City of Birth	Country of Birth	Country of Citizenship / Nationality
First Applicant / Guardian			<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others _____
Second applicant			<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others _____
Third applicant			<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others _____

Are you a tax resident (i.e., are you assessed for Tax) in any other country outside India?  Yes  No [Please tick]

If 'YES' please fill for ALL countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen/Resident / Green Card Holder / Tax Resident in the respective countries.

	Country of Tax Residency	Tax Identification Number or Functional Equivalent	Identification Type (TIN or other please specify)	Address Type
First Applicant / Guardian				<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business
Second applicant				<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business
Third applicant				<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business

'FATCA and CRS Self Certification form' is available on the website of AMC i.e. [www.axismf.com](http://www.axismf.com) or at the Investor Service Centres (ISCs) of Axis Mutual Fund

**4 DEMAT ACCOUNT DETAILS (OPTIONAL)** (Please ensure that the sequence of names as mentioned in the application form matches with that of the A/c. held with the depository participant.) Refer Instruction No. 19

NSDL: Depository Participant Name \_\_\_\_\_ DPID No. I N \_\_\_\_\_ Beneficiary A/c No. \_\_\_\_\_

CDSL: Depository Participant Name \_\_\_\_\_ Beneficiary A/c No. \_\_\_\_\_

Enclosed  Client Master  Transaction/ Statement Copy/ DIS Copy

**QUICK CHECKLIST**

- KYC acknowledgement letter (Compulsory for MICRO Investments)
- Self attested PAN card copy
- Email id and mobile number provided for online transaction facility
- Plan / Option / Sub Option name mentioned in addition to scheme name
- SIP Registration Mandate - NACH for SIP investments
- Multiple Bank Accounts Registration form (if you want to register multiple bank accounts so that future payments can be made from any of the accounts)
- Relationship proof between Guardian and Minor (if application is in the name of a Minor) attached
- Additional documents attached for Third Party payments. Refer instruction No. 7.
- FATCA Declaration.

 <b>EasyInvest</b> <a href="https://online.axismf.com">https://online.axismf.com</a> <small>Invest online without any prior registration.</small>	 <b>EasyCall</b> 1800 221322 / 1800 2009 3300 <small>Buy / Sell units without PINs or Passwords.</small>	 <b>EasySMS</b> SMS: HELP to 92128 10033 <small>Forecast and get field details on the go.</small>	 <b>EasyApp</b> SMS: HELP to 92128 10033 to download. Invest with ease on your Android smartphone.	 <b>Risk Managed Products</b>
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**5 NOMINATION DETAILS** (Mandatory) (Refer Instruction No. 18)

Sr. No.	Nominee Name	PAN	Allocation (%)	Relationship with Investor	Guardian Name (in case of Minor)	Guardian Signature
1						
2						
3						

I/We DO NOT wish to nominate and sign here

First / Sole Applicant	Second Applicant	Third Applicant
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**7 INVESTMENT & PAYMENT DETAILS**

Payment type  Non-Third Party Payment  Third Party Payment (Refer instruction no. 7 and attach 'Third Party Payment Declaration Form')

Scheme	Plan	Option	Dividend Mode
<b>Axis Growth Opportunities Fund (An Open-ended Equity Scheme investing in both large cap and mid cap stocks)</b>	<input type="checkbox"/> Regular Plan	<input type="checkbox"/> Growth	<input type="checkbox"/> Dividend Payout { Not applicable for Growth Option }
	<input type="checkbox"/> Direct Plan	<input type="checkbox"/> Dividend	<input type="checkbox"/> Dividend Reinvestment

Mode  Cheque  DD  Axis Bank Debit Mandate (Please fill section 6.) Cheque / DD no. \_\_\_\_\_ Dated

Amount (figures) \_\_\_\_\_ (words) \_\_\_\_\_

Pay-in A/c no. \_\_\_\_\_

Account type  Savings  NRO  NRE  Current  FCNR  Others \_\_\_\_\_ Specify \_\_\_\_\_

IFSC Code (11 Digit) \_\_\_\_\_ MICR Code (9 Digit) \_\_\_\_\_

Drawn on bank / branch name & address \_\_\_\_\_

**7A SIP (SIP Registration details (Form 3) with Form 1)**

Monthly SIP Amount (figure in ₹) \_\_\_\_\_ (words) \_\_\_\_\_

SIP frequency (tick  any one)  Monthly  Yearly (Default Frequency Monthly) Preferred Debit Date (Any date except 29<sup>th</sup>, 30<sup>th</sup> and 31<sup>st</sup>) (ref 13(b))     If no debit date is mentioned default date would be considered as 7th of every month.

SIP period Start Date       End Date       **OR**  End date (ref 13(i))       If end date is not mentioned then the SIP will be considered for perpetuity (Dec 2099).

First SIP Installment details Mode  Cheque / DD  Axis Bank Debit Mandate (Please fill section 6.) Dated

Drawn on bank / branch name \_\_\_\_\_ Cheque / DD no. \_\_\_\_\_

**8 BANK ACCOUNT DETAILS FOR PAYOUT** (Please note that as per SEBI Regulations it is mandatory for investors to provide their bank account details. Refer Instruction No. 6)

Tick here and don't fill the section below, if the Bank account details for Pay-Out should be same as the bank account details mentioned in section 7.

Name of the Bank \_\_\_\_\_

Branch Address \_\_\_\_\_

City \_\_\_\_\_ Pin Code \_\_\_\_\_

Account No. \_\_\_\_\_ Account Type  Savings  Current  NRE  NRO  FCNR  Others \_\_\_\_\_

IFSC Code (11 Digit) \_\_\_\_\_ MICR Code (9 Digit) \_\_\_\_\_

**9 DECLARATION AND SIGNATURE**

Having read and understood the content of the SID / SAI of the scheme, I/we hereby apply for units of the scheme. I have read and understood the terms, conditions, details, rules and regulations governing the scheme. I/we hereby declare that the amount invested in the scheme is through legitimate source only and does not involve designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I/we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We confirm that the funds invested in the Scheme, legally belongs to me/us. In event "Know Your Customer" process is not completed by me/us to the satisfaction of the Mutual Fund, (I/we hereby authorize the Mutual Fund, to redeem the funds invested in the Scheme, in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law.) The ARN holder has disclosed to me/us all the commissions (trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds amongst which the Scheme is being recommended to me/ us. I/We confirm that I/We do not have any existing Micro SIP/Lumpsum investments which together with the current application will result in aggregate investments exceeding ₹ 50,000 in a year (Applicable for Micro investment only.) with your fund house. For NRIs only - I / We confirm that I am/ we are Non Residents of Indian nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/ our Non Resident External / Non Resident Ordinary / FCNR account. I/We confirm that details provided by me/us are true and correct.

**CERTIFICATION**

I/ We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/ We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

**AADHAAR DECLARATION**

I/ We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/ our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/ We hereby provide my/our consent for sharing/disclosing of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund (s)and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios with my PAN.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
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Date :       Place : \_\_\_\_\_

# FORM 2 - APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM

NFO opens : October 01, 2018 NFO closes : October 15, 2018



Application No.

Date

BROKER/AGENT INFORMATION			FOR OFFICE USE ONLY			
Name and AMFI Regn No.	Sub Broker Name & Code	EUIN	SCSB	SCSB IFSC Code	Syndicate Member Code	SI No.
ARN:			[Name & Code]	[11 digit code]	[Name and Code]	

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
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**1 NAME OF FIRST APPLICANT** (Name should be as available in Demat Account)  Title  Mr.  Ms.  M/s

**2 FOLIO NUMBER**  (If you have an existing folio number, please mention the number here)

**3 DEPOSITORY ACCOUNT DETAILS**

Depository Name  National Securities Depository Ltd.  Central Depository Services [India] Limited

Depository Participant Name

DP-ID  Beneficiary Account Number

**4 PAN DETAILS** (Permanent Account Number)

1st applicant  2nd applicant  3rd applicant

**5 INVESTMENT DETAILS**

Scheme	Plan	Option	Dividend Mode
Axis Growth Opportunities Fund (An Open-ended Equity Scheme investing in both large cap and mid cap stocks)	<input type="checkbox"/> Regular Plan	<input type="checkbox"/> Growth	<input type="checkbox"/> Dividend Payout {Not applicable for Growth Option}
	<input type="checkbox"/> Direct Plan	<input type="checkbox"/> Dividend	<input type="checkbox"/> Dividend Reinvestment

**6 DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS**

Bank Account Number

Bank Name

Branch Name where account is held

Total Amount to be blocked  in figures  in words

**7 CONTACT DETAILS - FIRST APPLICANT / GUARDIAN / CORPORATE** (PO Box address is not sufficient. Mobile number and email is mandatory to avail online facility.)

Contact Person (In case of non Individual Investor)

Address

City

State  Pincode  Landline No.

**8 UNDERTAKING BY ASBA INVESTOR**

1) I/We hereby under take that I/We am/are an ASBA Investor as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements.) Regulation 2009 ('SEBI Regulation') as amended from time to time. 2) In accordance with ASBA process provided in the SEBI Regulations and as disclosed in this application, I/We authorize (a) the SCSB to do all necessary acts including blocking of application money towards the Subscription of Units of the Scheme, to the extent mentioned above in the "SCSB/ASBA Account details" or unblocking of funds in the bank account maintained with the SCSB specified in this application form, transfer of funds to the Bank account of the Scheme/Axis Mutual Fund on receipt of instructions from its Registrar and Transfer Agent after the allotment of the Units entitling me/us to receive Units on such transfer of funds, etc. (b) Registrar and Transfer Agent to issue instruction to the SCSB to remove the block on the funds in the bank account specified in the application, upon allotment of Units and to transfer the requisite money to the Scheme's account / Bank account of Axis Mutual Fund. 3) In case the amount available in the bank account specified in the application is insufficient for blocking the amount equivalent to the application money towards the Subscription of Units, the SCSB shall reject the application. 4) If the DP ID, Beneficiary Account No. or PAN furnished by me/us in the application is incorrect or incomplete or not matching with the depository records, the application shall be rejected and the Axis Mutual Fund or Axis Asset Management Company Limited or SCSBs shall not be liable for losse, if any. All future communication in connection with NFO should be addressed to the SCSB/RTA/AMC quoting the full name of the Sole/First Applicant, NFO Application Number, ASBA Application Number, Depository Account details [if it has been provided]. Amount applied for and the account number from where NFO amount was blocked.

**9 DECLARATION AND SIGNATURES**

Having read and understood the content of the SID / SAI of the scheme, I / we hereby apply for units of the scheme. I have read and understood the terms, conditions, rules and regulations governing the scheme. I / We hereby declare that the amount invested in the scheme is through legitimate source only and does not involve designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I / We have understood the details of the Scheme & I / we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I / We confirm that the funds invested in the Scheme, legally belongs to me / us. In event "Know Your Customer" process is not completed by me / us to the satisfaction of the Mutual Fund, I / we hereby authorize the Mutual Fund, to redeem the funds invested in the Scheme, in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law. 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 me / us. For NRIs only - I / We confirm that I am / we are Non Residents of Indian nationality / origin and that I / We have remitted funds from abroad through approved banking channels or from funds in my / our Non Resident External / Non Resident Ordinary / FCNR account. I / We confirm that details provided by me / us are true and correct.

Signature of Bank Account Holders

**ACKNOWLEDGMENT SLIP** (to be filled in by the investor)

Application No.

Axis Growth Opportunities Fund (An Open-ended Equity Scheme investing in both large cap and mid cap stocks)

Received from Mr / Ms / Mrs / M/s

an application for purchase of units in Axis Growth Opportunities Fund (An Open-ended Equity Scheme investing in both large cap and mid cap stocks)

SCSB Account details: Account No.

Bank Name

Branch  Total Amount to be blocked  in figures

in words

Time of receipt

Date

SCSB Stamp, Signature

# INSTRUCTIONS FOR FILLING ASBA APPLICATION FORM

## 1. MEANING OF ASBA

ASBA is an application for subscribing to a New Fund Offer (NFO), containing an authorisation to block the application money in a bank account.

## 2. SELF CERTIFIED SYNDICATE BANK (SCSB)

SCSB is a banker to an issue registered with the SEBI which offers the facility of applying through the ASBA process. The list of SCSBs will be displayed by SEBI on its website at [www.sebi.gov.in](http://www.sebi.gov.in) from time to time. ASBAs can be accepted only by SCSBs, whose names appear in the list of SCSBs displayed on SEBI's website. As on April 15, 2010, 27 Banks have been recognised as SCSBs. Investors maintaining their accounts in any of these Banks may approach one of the designated branches of these SCSBs for availing this facility. Further it may be noted that from time to time new banks register themselves as SCSBs who become eligible to provide these services and also the existing SCSBs designate additional branches that also provide this facility. An updated list of all the registered SCSBs, their controlling branches, contact details and details of their contact persons, a list of their designated branches which are providing such services is available on the website of SEBI at the address <http://www.sebi.gov.in>. Further these details are also available on the websites of the Stock Exchanges at <http://www.bseindia.com> and <http://www.nseindia.com>. Alternatively, investors may also contact the AMC, R&TA for information about the SCSBs or the ASBA process. These SCSBs are deemed to have entered into an agreement with the Issuer and shall be required to offer the ASBA facility to all its account holders for all issues to which ASBA process is applicable. A SCSB shall identify its Designated Branches (DBs) at which an ASBA bidder shall submit ASBA and shall also identify the Controlling Branch (CB), which shall act as a coordinating branch for the Registrar to the Issue, Stock Exchanges and Merchant Bankers. The SCSB, its DBs and CB shall continue to act as such, for all issues to which ASBA process is applicable. The SCSB may identify new DBs for the purpose of ASBA process and intimate details of the same to SEBI. After which SEBI will add the DB to the list of SCSBs maintained by it. The SCSB shall communicate the following details to Stock Exchanges for making it available on their respective websites. These details shall also be made available by the SCSB on its website: (i) Name and address of the SCSB (ii) Addresses of DBs and CB and other details such as telephone number, fax number and email ids. (iii) Name and contact details of a nodal officer at a senior level from the CB.

## 3. ELIGIBILITY OF INVESTORS

An Investor shall be eligible to apply through ASBA process, if he/she: (i) is a Resident Retail Individual Investor, Non Institutional Investor, QIBs, Eligible NRIs applying on non-repatriation basis, Eligible NRIs applying on repatriation basis i.e. any investor, (ii) is applying through blocking of funds in a bank account with the SCSB; Such investors are hereinafter referred as "ASBA Investors".

## 4. ASBA FACILITY IN BRIEF

Investor shall submit his Bid through an ASBA cum Application Form, either in physical or electronic mode, to the SCSB with whom the bank account of the ASBA Investor or bank account utilised by the ASBA Investor ("ASBA Account") is maintained. The SCSB shall block an amount equal to the NFO application Amount in the bank account specified in the ASBA cum Application Form, physical or electronic, on the basis of an authorisation to this effect given by the account holder at the time of submitting the Application. The Bid Amount shall remain blocked in the aforesaid ASBA Account until the Allotment in the New fund Offer and consequent transfer of the Application Amount against the allocated Units to the Issuer's account designated for this purpose, or until withdrawal/failure of the Offer or until withdrawal/rejection of the ASBA Application, as the case may be. The ASBA data shall thereafter be uploaded by the SCSB in the electronic IPO system of the Stock Exchanges. Once the Allotment is finalised, the R&TA to the NFO shall send an appropriate request to the Controlling Branch of the SCSB for unblocking the relevant bank accounts and for transferring the amount allocable to the successful ASBA Bidders to the

AMC account designated for this purpose. In case of withdrawal/Rejection of the Offer, the R&TA to the Offer shall notify the SCSBs to unblock the blocked amount of the ASBA Bidders within one day from the day of receipt of such notification.

## 5. OBLIGATIONS OF THE AMC:

AMC shall ensure that adequate arrangements are made by the R&TA for the NFO to obtain information about all ASBAs and to treat these applications similar to non-ASBA applications while allotment of Units, as per the procedure specified in the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009.

Investors are requested to check with their respective banks about the availability of the ASBA facility.

## 6. OTHER INFORMATION FOR ASBA INVESTORS:

1. SCSB shall not accept any ASBA after the closing time of acceptance on the last day of the NFO period.
2. SCSB shall give ASBA investors an acknowledgment for the receipt of ASBAs.
3. SCSB shall not upload any ASBA in the electronic system of the Stock Exchange(s) unless (i) it has received the ASBA in a physical or electronic form; and (ii) it has blocked the application money in the bank account specified in the ASBA or has systems to ensure that Electronic ASBAs are accepted in the system only after blocking of application money in the relevant bank account opened with it.
4. SCSB shall ensure that complaints of ASBA investors arising out of errors or delay in capturing of data, blocking or unblocking of bank accounts, etc. are satisfactorily redressed.
5. SCSB shall be liable for all its omissions and commissions in discharging responsibilities in the ASBA process.
6. R&TA to the NFO shall act as a nodal agency for redressing complaints of ASBA and non-ASBA investors, including providing guidance to ASBA investors regarding approaching the SCSB concerned.

### Grounds for rejection of ASBA applications

ASBA application forms can be rejected by the AMC/Registrar/SCSBs, on the following technical grounds:

1. Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane persons etc.
2. Mode of ASBA i.e. either Physical ASBA or Electronic ASBA, not selected or ticked.
3. ASBA Application Form without the stamp of the SCSB.
4. Application by any person outside India if not in compliance with applicable foreign and Indian laws.
5. Bank account details not given/incorrect details given.
6. Duly certified Power of Attorney, if applicable, not submitted alongwith the ASBA application form.
7. No corresponding records available with the Depositories matching the parameters namely (a) Names of the ASBA applicants (including the order of names of joint holders) (b) DP ID (c) Beneficiary account number or any other relevant details pertaining to the Depository Account.
8. Insufficient funds in the investor's account.
9. Application accepted by SCSB and not uploaded on/with the Exchange / Registrar.

### Axis Asset Management Company Limited

Investment Manager to Axis Mutual Fund

Axis House, First Floor, C-2, Wadia International Centre,  
Pandurang Budhkar Marg, Worli, Mumbai - 400 025.

Tel 022 4325 5100 Fax 022 4325 5199 Toll Free 1800 221322 or 1800 3000 3300 From Monday to Friday - 8 AM to 7 PM On Saturday - 9 AM to 6 PM

Email [customerservice@axismf.com](mailto:customerservice@axismf.com) Web [www.axismf.com](http://www.axismf.com)



**FORM 3 - SIP REGISTRATION MANDATE (NACH) AXIS GROWTH OPPORTUNITIES FUND**

(Investor must read Key Scheme Features and Instructions before completing this form.)

TO BE ATTACHED WITH FORM 1

New Fund Offer Opens on: **October 01, 2018**New Fund Offer Closes on: **October 15, 2018**First SIP start date: **01 December, 2018**

**AXIS MUTUAL FUND**  
 The RESPONSIBLE Mutual Fund
**THE APPLICATION FORM SHOULD BE FILLED IN BLOCK LETTERS ONLY.**

Distributor ARN	Sub-Distributor ARN	Internal Sub-Broker / Sol ID	Employee Code	EUIN	RIA CODE^	Serial No., Date & Time Stamp
ARN	ARN			E		

Upfront commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor.

\*I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/ portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Investment Adviser:

\*I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
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In case the subscription (lumpsum) amount is ₹ 10,000/- or more and your Distributor has opted to receive Transaction Charges, ₹ 150/- (for first time mutual fund investor) or ₹ 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.

**TRANSACTION CHARGES FOR APPLICATIONS ROUTED THROUGH DISTRIBUTORS/AGENTS ONLY** (Refer Instruction No. 20)
 I confirm that I am a first time investor across Mutual Funds. **OR**  I confirm that I am an existing investor in Mutual Funds.

 Tick whichever is applicable :  New SIP registration by new investor  New SIP registration by existing investor
**1 APPLICANT'S PERSONAL DETAILS (MANDATORY)**

Application Form No. (For New Applicants) \_\_\_\_\_ **OR** Folio No. (For Existing Unit holders) \_\_\_\_\_

Sole / 1st Unitholder \_\_\_\_\_ **OR** Middle Name \_\_\_\_\_ Last Name \_\_\_\_\_

Guardian's Name (in case of minor) \_\_\_\_\_ Email ID \_\_\_\_\_ For receiving statements over email instead of post

PAN \_\_\_\_\_ 1st Applicant \_\_\_\_\_ 2nd Applicant \_\_\_\_\_ 3rd Applicant \_\_\_\_\_

Enclose  Attested PAN card  KYC Letter  Attested PAN card  KYC Letter  Attested PAN card  KYC Letter

KIN (Refer 8A) \_\_\_\_\_  CKYC FORM  SUPPLEMENTARY CKYC FORM  CKYC FORM  SUPPLEMENTARY CKYC FORM  CKYC FORM  SUPPLEMENTARY CKYC FORM

Aadhaar No. (Ref. 24) \_\_\_\_\_  CKYC FORM  SUPPLEMENTARY CKYC FORM  CKYC FORM  SUPPLEMENTARY CKYC FORM  CKYC FORM  SUPPLEMENTARY CKYC FORM

**2 SIP DETAILS**

Scheme Name \_\_\_\_\_ Plan \_\_\_\_\_ Option \_\_\_\_\_

SIP frequency (tick ✓ any one)  Monthly  Yearly (Default Frequency Monthly) Preferred Debit Date (Any date except 29<sup>th</sup>, 30<sup>th</sup> and 31<sup>st</sup>) (Ref 13(b))   If no debit date is mentioned default date would be considered as 7th of every month.

SIP period from     to     **OR**  End date (ref 13(i))     If end date is not mentioned then the SIP will be considered for perpetuity (Dec 2099).

SIP Amount (figures) ₹ \_\_\_\_\_ (words) \_\_\_\_\_


First SIP Installment details Drawn on bank / branch name \_\_\_\_\_ Cheque / DD Amount \_\_\_\_\_

Mode  Cheque / DD  Axis Bank Debit Mandate Cheque / DD no. \_\_\_\_\_ MICR No. \_\_\_\_\_ Dated

**3 DECLARATION AND SIGNATURE (To be signed by ALL UNIT HOLDERS if mode of holding is 'joint')**

I / We declare that the particulars furnished here are correct. I / We authorise Axis Mutual Fund acting through its service providers to debit my / our bank account towards payment of SIP instalments through an Electronic Debit arrangement / NACH (National Automated Clearing House). If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/we would not hold the user institution responsible. I/We will also inform Axis Mutual Fund about any changes in my bank account. This is to inform you that I/We have registered for making payment towards my investments in AXISMF by debit to my /our account directly or through ECS (Debit Clearing) / NACH (National Automated Clearing House). I/We hereby authorize to honour such payments and have signed and endorsed the Mandate Form. Further, I authorize my representative (the bearer of this request) to get the above Mandate verified. Mandate verification charges, if any, may be charged to my/our account. I also hereby agree to read the respective SID and SAI of the mutual fund before investing in any scheme of Axis Mutual Fund using this facility.

Sole / 1st Unit Holder / POA / Guardian  2nd Unit Holder  3rd Unit Holder

 **AXIS MUTUAL FUND** UMRN \_\_\_\_\_ Bank use \_\_\_\_\_ Date

**Tick (✓)**

CREATE  MODIFY  CANCEL

Sponsor Bank Code \_\_\_\_\_ Bank use \_\_\_\_\_ Utility Code \_\_\_\_\_ Bank use \_\_\_\_\_

I/We hereby authorize **Axis Mutual Fund** to debit (tick ✓)  SB  CA  CC  SB-NRE  SB-NRO  Other

Bank a/c number \_\_\_\_\_

with Bank \_\_\_\_\_ Name of customers bank \_\_\_\_\_ IFSC \_\_\_\_\_ or MICR \_\_\_\_\_

an amount of Rupees \_\_\_\_\_ ₹ \_\_\_\_\_

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1 \_\_\_\_\_ Folio No. \_\_\_\_\_ Phone No. \_\_\_\_\_

Reference 2 \_\_\_\_\_ Scheme Name \_\_\_\_\_ Email ID \_\_\_\_\_

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my accounts as per latest schedule of charges of the bank.

<b>PERIOD</b>		
From	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	
To	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	
Or	<input type="checkbox"/> Until Cancelled	

1. \_\_\_\_\_ Signature Primary Account holder  
Name as in bank records

2. \_\_\_\_\_ Signature of Account holder  
Name as in bank records

3. \_\_\_\_\_ Signature of Account holder  
Name as in bank records

This is to confirm that the declaration (as mentioned overleaf) has been carefully read, understood & made by me / us. I am authorizing the User Entity / Corporate to debit my account, based on the instructions as agreed and signed by me. I have understood that I am authorized to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

**MANDATORY FIELDS:** • Instrument Date • Account type • Bank A/c number (core banking a/c no only) • Bank name • IFSC code or MICR code (as per the cheque / pass book) • Amount in words (maximum amount) • Period start date and end date or until cancelled • Account holder signature • Account holder name as per bank record

**ACKNOWLEDGMENT SLIP (To be filled by the investor)**

Folio No. \_\_\_\_\_ Investor Name \_\_\_\_\_

Scheme Name \_\_\_\_\_ (Scheme Name) \_\_\_\_\_ Plan \_\_\_\_\_ Option \_\_\_\_\_

SIP Period From       to       Amount ₹ \_\_\_\_\_ Stamp & Signature \_\_\_\_\_

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# FOR NON-INDIVIDUALS - SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM



Name of the entity

Type of address given at KRA  Residential or Business  Residential  Business  Registered Office  
"Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes"

Folio Number  /  /

PAN  Date of incorporation

City of incorporation  Country of incorporation

Entity Constitution Type (Please tick as appropriate)  Partnership Firm  HUF  Private Limited Company  Public Limited Company  Society  AOP/BOI  Trust  Liquidator  
 Limited Liability Partnership  Artificial Juridical Person  Others  specify

**Please tick the applicable tax resident declaration:**

**1. Is "Entity" a tax resident of any country other than India**  Yes  No (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number *	Identification Type (TIN or Other, please specify)

\*In case Tax Identification Number is not available, kindly provide its functional equivalent\$.  
 In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

**ADDITIONAL KYC INFORMATION**

Gross Annual Income (₹)  Below 1 Lac  1 - 5 Lacs  5 - 10 Lacs  10 - 25 Lacs  > 25 Lacs - 1 Crore  > 1 Crore

**OR**

Net-worth (Mandatory for Non-Individuals) ₹  as on           (Not older than 1 year)

Politically Exposed Person (PEP) Status\* (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)  PEP  Related to PEP  Not Applicable

Is the entity involved in any of the mentioned services:  Foreign exchange/ Money changer  Gaming/ Gambling/ Lottery (Casinos, betting syndicates)  
 Money lending/ Pawning  Not applicable

\*PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

**FATCA & CRS Declaration** (Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

**PART A** (to be filled by Financial Institutions or Direct Reporting NFEs)

We are a, Financial institution<sup>6</sup>

**OR**

Direct reporting NFE<sup>7</sup>   
(please tick as appropriate)

GIIN

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity

GIIN not available (please tick as applicable)  Applied for  Not required to apply for - please specify 2 digits sub-category<sup>10</sup>    Not obtained - Non-participating FI

**PART B** (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1	Is the Entity a publicly traded company <sup>1</sup> (that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange <input type="text"/>
2	Is the Entity a related entity <sup>2</sup> of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <input type="text"/> Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange <input type="text"/>
3	Is the Entity an active <sup>3</sup> NFE	Yes <input type="checkbox"/> Nature of Business <input type="text"/> Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> (Mention code-refer 2c of Part D)
4	Is the Entity a passive <sup>4</sup> NFE	Yes <input type="checkbox"/> Nature of Business <input type="text"/>

<sup>1</sup>Refer 2a of Part C | <sup>2</sup>Refer 2b of Part C | <sup>3</sup>Refer 2c of Part C | <sup>4</sup>Refer 3(ii) of Part C | <sup>5</sup>Refer 1 of Part C | <sup>6</sup>Refer 3(vii) of Part C | <sup>7</sup>Refer 1A of Part C

**UBO Declaration** (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category)  Unlisted Company  Partnership Firm  Limited Liability Partnership Company  Unincorporated association / body of individuals  Private Trust  
 Public Charitable Trust  Religious Trust  Others

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).  
 (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of part C)

Details	UBO1	UBO2	UBO3
Name			
PAN			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
Tax ID No. <sup>§</sup>			
Tax ID Type			
Address	_____ _____ Zip <input type="text"/> State _____ Country _____	_____ _____ Zip <input type="text"/> State _____ Country _____	_____ _____ Zip <input type="text"/> State _____ Country _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Registered office <input type="checkbox"/> Business	<input type="checkbox"/> Residence <input type="checkbox"/> Registered office <input type="checkbox"/> Business	<input type="checkbox"/> Residence <input type="checkbox"/> Registered office <input type="checkbox"/> Business
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
Percentage of Holding (%) <sup>^</sup>			

# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

\* To include US, where controlling person is a US citizen or green card holder

%In case Tax Identification Number is not available, kindly provide functional equivalent

<sup>^</sup>Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

<sup>§</sup>Refer 3(iii) of Part C | <sup>¶</sup>Refer 3(iv) (A) of Part C

**FATCA - CRS Terms and Conditions**

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with Axis Mutual Fund or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the 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.

**CERTIFICATION**

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me / us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name   
 Designation

\_\_\_\_\_  
 Signatures

Date  Place

## PART C FATCA Instructions & Definitions

### 1 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.

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of
  - (i) The three financial years preceding the year in which determination is made; or
  - (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:
  - That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
    - (ii) Individual and collective portfolio management; or
    - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;
  - or
  - The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :

- (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made;
- or
- (ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.
- FI not required to apply for GIIN:

#### A. Reasons why FI not required to apply for GIIN:

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

### 2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

#### 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)

##### b. 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;

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

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 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: <ul style="list-style-type: none"> <li>• 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;</li> <li>• It is exempt from income tax in India;</li> <li>• It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul> <p>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</p> <p>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.</p> <p>Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <ol style="list-style-type: none"> <li>(I) an Investor Protection Fund referred to in clause (23EA);</li> <li>(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</li> <li>(III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;</li> </ol>

### 3. Other definitions

#### (i) Related entity

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

#### (ii) Passive NFE

The term passive NFE means

- (i) 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
- (ii) an investment entity defined in clause (b) of these instructions
- (iii) 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)

#### (iii) Passive income

The term passive income includes income by way of :

- (1) Dividends,
- (2) Interest
- (3) Income equivalent to interest,
- (4) 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

**PART C FATCA Instructions & Definitions (Contd.)**

- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

**(iv) Controlling persons**

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means '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 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.

Where the client is a trust, the financial institutions shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

**(A) Controlling Person Type:**

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement - trust-trustee
06	CP of legal arrangement - trust-protector
07	CP of legal arrangement - trust-beneficiary
08	CP of legal arrangement - trust-other
09	CP of legal arrangement - Other-settlor equivalent
10	CP of legal arrangement - Other-trustee equivalent
11	CP of legal arrangement - Other-protector equivalent
12	CP of legal arrangement - Other-beneficiary equivalent
13	CP of legal arrangement - Other-other equivalent
14	Unknown

**(v) Specified U.S. person – A U.S. person other than the following:**

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (iii) the United States or any wholly owned agency or instrumentality thereof;

- (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

**(vi) Owner documented FFI**

An FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non participating FFI;
- (d) 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
- (e) 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.

**(vii) Direct reporting NFE**

A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

**(viii) Exemption code for U.S. persons**

Code	Sub-category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	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)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	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
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan





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