AXIS MUTUAL FUND

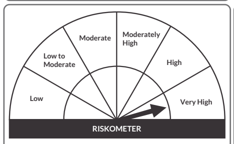
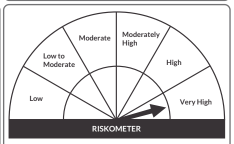
Application No.

COMMON APPLICATION FORM FOR AXIS NIFTY SMALLCAP 50 INDEX FUND

(An Open Ended Index Fund tracking the NIFTY SMALLCAP 50 Index)

NFO OPENS : FEBRUARY 21, 2022 AND NFO CLOSES : MARCH 07, 2022

Offer for Units of ₹ 10 Per Unit during the New fund Offer and at NAV based prices upon re-opening

Fund Name & Benchmark	Product Labelling	Product Riskometer	Benchmark Riskometer
AXIS NIFTY SMALLCAP 50 INDEX FUND (An Open Ended Index Fund tracking the NIFTY SMALLCAP 50 Index) **Benchmark:** Nifty Smallcap 50 Index TRI	This product is suitable for investors who are seeking* • Long term wealth creation solution. • An index fund that seeks to track returns by investing in a basket of Nifty Smallcap 50 Index stocks and aims to achieve returns of the stated index, subject to tracking error. *Investors should consult their financial advisers in if doubt about whether the product is suitable for them.	 Investors understand that their principal will be at very high risk	 Nifty Smallcap 50 Index TRI

(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
EUIN	Employee Code	RIA CODE ^
PMR (Portfolio Manager's Registration) Number ^ ^		Serial No., Date & Time Stamp

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, 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 Portfolio Manager.

☐ "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."

You/ Sole Applicant /Guardian	Second Applicant	Third Applicant	Power of Attorney Holder

TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS 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 across Mutual Funds.

In case the subscription amount is ₹ 10,000 or more and your Distributor has opted to receive Transaction Charges, the same are deductible as applicable from the purchase/subscription amount and payable to the Distributor. Units will be issued against the balance amount invested.

EXISTING INVESTOR'S FOLIO NUMBER (If you have an existing folio with KYC validated, please mention here and skip to section 4)	**MODE OF HOLDING** (in case of Demat Purchase Mode of Holding should be same as in Demat Account)	**Unit Holding Option**
Folio number	☐ Single ☐ Joint (Default) ☐ Anyone or Survivor	☐ Physical Mode ☐ Demat Mode (in case of Demat, please fill sec 6)
☐ I/ We want to create new Folio (Instruction No. 26)		

1. YOUR PERSONAL DETAILS (MANDATORY) (In case of investment "On behalf of minor", Please refer instruction No. 11)

First Applicant Mr. Ms. M/s. FIRST APPLICANT Gender ☐ M ☐ F ☐ O

PAN (Mandatory)

DOB D D M M Y Y Y Y CKYC No. (Optional) 14 digit CKYC Number

Address

City State Pincode

Mobile Email ID*

Occupation Details: ☐ Pvt. Sector Service ☐ Public Sector Service ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Forex Dealer ☐ Student ☐ Others Specify

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

Net worth (Mandatory for Non - Individuals) ₹ as on D D M M Y Y Y Y

Email ID provided pertains to ☐ Self ☐ Family Member (Note: If Email pertains to Family Member please select any one) ☐ Spouse ☐ Dependent Parents ☐ Dependent Children

☐ I / we hereby prefer to 'OPT-IN' to receive physical copies of scheme Annual Report or Abridged summary. (Refer Instruction No. 25)

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)

Name of the bank

Branch Address

City State Pincode

Account No.

Account type ☐ Savings ☐ Current ☐ NRE ☐ NRO ☐ FCNR ☐ Others Specify

IFSC Code (11 digit) MICR Code (9 digit)

LEI Code Valid up to D D M M Y Y Y Y

Note: Legal Entity Identifier Number is Mandatory for Transaction value of INR 50 crore and above for Non-Individual investors. refer Instruction No. 27.

Second Applicant	Mr.	Ms.	M/s.	SECOND APPLICANT	Gender	☐ M	☐ F	☐ O

PAN (Mandatory)

DOB D D M M Y Y Y Y | CKYC No. (Optional) 14 digit CKYC Number

Address

City | State | Pincode

Occupation Details: ☐ Pvt. Sector Service ☐ Public Sector Service ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Forex Dealer ☐ Student ☐ Others Specify

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

Third Applicant	Mr.	Ms.	M/s.	THIRD APPLICANT	Gender	☐ M	☐ F	☐ O

PAN (Mandatory)

DOB D D M M Y Y Y Y | CKYC No. (Optional) 14 digit CKYC Number

Address

City | State | Pincode

Occupation Details: ☐ Pvt. Sector Service ☐ Public Sector Service ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Forex Dealer ☐ Student ☐ Others Specify

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

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

Mr.	Ms.	M/s.	GUARDIAN	Gender	☐ M	☐ F	☐ O

PAN (Mandatory)

DOB D D M M Y Y Y Y | CKYC No. (Optional) 14 digit CKYC Number

Address

City | State | Pincode

Occupation Details: ☐ Pvt. Sector Service ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Forex Dealer ☐ Student ☐ Others Specify

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

Relationship Of Guardian (Refer Instruction No. 11) ☐ Mother ☐ Father ☐ Court Appointed Guardian

Email ID

Proof of the Relationship with Minor ☐ Birth Certificate ☐ School Certificate ☐ Passport ☐ Others Specify

TAX STATUS (Applicable for First / Sole Applicant) ☐ Resident Individual ☐ FIIs ☐ 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

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

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

FOR RESIDENT INDIANS

The below information is required for all applicants/guardian.

	Place / City of Birth	Country of Birth	Country of Citizenship / Nationality
First Applicant / Guardian			☐ Indian ☐ U.S. ☐ Others ______
Second Applicant			☐ Indian ☐ U.S. ☐ Others ______
Third Applicant			☐ Indian ☐ U.S. ☐ Others ______

FOR NON-RESIDENT INDIANS

Are you a tax resident (i.e., are you assessed for tax) in any other country outside India? ☐ Yes ☐ No
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				☐ Resi ☐ Regd. Office ☐ Business
Second Applicant				☐ Resi ☐ Regd. Office ☐ Business
Third Applicant				☐ Resi ☐ Regd. Office ☐ Business

Overseas Address ______

______ City ______

State ______ Country ______ Zipcode ______

For Non Individual investors Annexure I and Annexure II are available on the website of AMC i.e. www.axismf.com or at the Investor Service Centres (ISCs) of Axis Mutual Fund.

3. NOMINATION DETAILS (Mandatory) (Refer Instruction No. 18)

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

☐ **I/We DO NOT wish to nominate and sign here**

You/ Sole Applicant	Second Applicant	Third Applicant

4. INVESTMENT DETAILS (Investors applying under Direct Plan must select "DIRECT" against scheme name, Refer Instruction No. 2.)

Sr. No.	Scheme	Plan	Option	Amount
1		☐ Regular ☐ Direct		

5. PAYMENT DETAILS

☐ Non-Third Party Payment ☐ Third Party Payment (Please attach 'Third Party Payment Declaration Form')

Mode ☐ Cheque ☐ DD ☐ Axis Bank Debit Mandate (Please fill section 9.) Date D D M M Y Y Y Y Cheque / DD No. ______

Amount (in figures) ______ (in words) ______

Pay-in A/c No. ______

Account type ☐ Savings ☐ Current ☐ NRE ☐ NRO ☐ FCNR ☐ Others Specify ______

IFSC code (11 digit) ______ MICR Code (9 digit) ______

Drawn on bank / branch name & address ______

6. 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	DP ID: I N
	Beneficiary A/c No.	
CDSL:	Depository Participant Name	
	Beneficiary A/c No.	

Enclosed ☐ Client Master ☐ Transaction / Statement Copy / DIS Copy

7. DECLARATION AND SIGNATURE

Having read and understood the content of the SID / KIM of the scheme and SAI of the Axis Mutual Fund (The Fund), 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 give my / our consent to collect personal data or information as prescribed in the privacy policy which is available on the website of the AMC / Fund. I/We hereby give consent to the Company or its Authorized Agents and third party service providers to use information/data provided by me to contact me through any channel of communication including but not limited to email, telephone, sms, etc. and further authorise the disclosure of the information contained herein to its affiliates/group companies or their Authorized Agents or Third Party Service Providers in order to provide information and updates to me on various financial and investment products and offering of other services. I/We agree that all personal or transactional related information collected/provided by me can be shared/transferred and disclosed with the above mentioned parties including with any regulatory, statutory or judicial authorities for compliance with any law or regulation in accordance with privacy policy as available at the website of the Company.

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.

I/ We give my consent to Axis Asset Management Company Limited and its agents to contact me over phone, SMS, email or any other mode to address my investment related queries and/or receive communication pertaining to transactions/ non-commercial transactions/ promotional/ potential investments and other communication/ material irrespective of my blocking preferences with the Customer Preference Registration Facility.

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) (if provided) 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.

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.

You/ Sole Applicant /Guardian	Second Applicant	Third Applicant	Power of Attorney Holder

Date D D M M Y Y Y Y Place

8. QUICK CHECKLIST

- [ ] KYC acknowledgement letter (Compulsory for MICRO Investments)
- [ ] Self attested PAN card copy
- [ ] Plan / Option / Sub Option name mentioned in addition to scheme name
- [ ] 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)
- [ ] Email id and mobile number provided for online transaction facility
- [ ] SIP Registration Form for SIP investments
- [ ] Relationship proof between guardian and minor (if application is in the name of a minor)
- [ ] FATCA Declaration
- [ ] Additional documents attached for Third Party payments. Refer instruction No. 7.

IFA Connect

https://ifaconnect.axismf.com/#/home

SMS

Transact by sending an SMS
SMS HELP To 9212010033

Phone Call

Transact through a **simple phone call** on 8108622211

9. DEBIT MANDATE (Only for Axis Bank Account holders. Now you don't have to issue a cheque if you hold an Axis Bank Account). To be processed in CMS software under client code "AXISMF"

I/ We ______ Name of the account holder(s) ______ **Application No.**

authorise you to debit my/our account no. ______

Account type ☐ Savings ☐ NRO ☐ NRE ☐ Current ☐ FCNR ☐ Others ______ Specify ______ to pay for the purchase of

☑ AXIS NIFTY SMALLCAP 50 INDEX FUND

Amount (in words) ______ (in Figures) ______

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

Date D D M M Y Y Y Y

WE ACKNOWLEDGE YOUR APPLICATION

Received subject to realisation, verification and conditions, an application for purchase of Units as mentioned in the application form.

From

Cheque No.	Date	Amount	Scheme	Stamp & Signature

Application No.