

your account statement

www.heliosmf.in

<u>NEW FUND OFFER</u> HELIOS FINANCIAL SERVICES FUND

An open-ended equity scheme investing in financial services sector

OPENS : <u>May 31, 2024</u> CLOSES : <u>June 14, 2024</u>

RE-OPENS: June 14, 2024

18002100168 (Toll Free Number)

Please read Key Information Memorandum, the instructions and product labelling before filling this application KEY PARTNER/AGENT INFORMATION (Investors Applying under direct plan should mention "DIRECT" in ARN Column) Sub Agent Code/Bank Branch Code/ *Employee Unique Identification Distributor/ RIA Code Sub Agent ARN **Internal Code** Number (EUIN) ARN-* EUIN Declaration (Only where EUIN box is left blank) - EUIN Declaration: 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 and the distributor has not charged any advisory fees on this transaction. (Refer Instruction No XII) Signature of Third Applicant 1. EXISTING INVESTOR FOLIO NUMBER 2. MODE OF HOLDING [Please tick ()] Joint (Default) Single Any one or Survivor 3. TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY (Please Refer Instruction No.V) [Please tick (<)] I am a First time investor across Mutual Funds OR I am an existing investor in Mutual Funds In case the purchase/subscription amount Rs 10,000/- or more and your Distributor has opted to receive transactions charges, the same are deductible as applicable from the purchase/subscription amount and paid the distributor. Units will be issued against the balance amount invested 4. APPLICANT DETAILS (Mention name as per your PAN / Income Tax Department (ITD)) (Mandatory to mention Date of Birth for all holders) Sole/First Applicant Name of Guardian if first applicant is minor/ Mr. /Ms./M/s Contact Person for non individuals Proof of Date of Birth and Guardian's Relationship with Minor Guardian's Relationship with Minor Date of Birth of Guardian Passport Others (Please specify Birth Certificate Father Mother Court Appointed Guardian PAN / PEKRN CKYC ID (CKIN) Note: LEI No. is Mandatory for transaction an for Non Individual. (Refer instruction No.XV) ount ₹50 Crs and above LEI No.: Valid upto Trust /Society/ NGOs* (Enter Registration No. of Darpan Portal) ☐ Public Limited Company ☐ FPI Category I ☐ Banks Resident Individual Sole Proprietor ☐ Body Corporate □ NRI HUF Private Limited Company FPI Category II Defence Establishment AOP/BOI Non Profit Organization/Charities* (Enter Registration No. of Darpan Portal) * Mandatory to fill Point No. 11 of this On Behalf of Minor Financial Institutions Partnership Firm/LLP FPI Category III Government Body Mutual Fund FOF Schemes | Others (Please specify) Application Form. Foreign Exchange/ Money Changer Services Gaming / Gambling / Lottery / Casino Services Are you involved / providing any of the mentioned services: (Applicable only for Non Individuals) Money Lending / Pawning None of the above Correspondence Address (Address details will be updated as per your KYC records with CKYC / KRA) Overseas Address (Mandatory for NRI / FPI Applicants & PIO's) House/Flat No Street Address Street Address City/Town City/Town State State Country Country **ZIP Code** Pin Code Tel. (Off.) Fax Tel. (Res.) (Country Code) Email ID (CAPITAL Letters Only) Mobile No. ■ Dependent Parents Email ID belongs to Self □ Spouse □ Dependent Children Dependent Siblings Guardian in case of minor Others Dependent Children ☐ Guardian in case of minor ☐ Others Mobile No. belongs to Self Spouse ■ Dependent Siblings □ Dependent Parents Investors providing Email Id would mandatorily receive Statement of Accounts/ Annual Report / Abridged Summary/ Statutory & other documents on email. Please register your Mobile No & Email Id with us to get transaction alerts via SMS & Email, respectively. I hereby declare that I shall immediately update any change in Mobile Number/Email ID Second Applicant CKYC ID PAN / PEKRN STATUS: Resident Individual NRI (CKIN) Email ID (CAPITAL Letters Only) Mobile No. Email ID belongs to Dependent Children ☐ Dependent Siblings □ Dependent Parents ☐ Guardian in case of minor ☐ Others Self Spouse Dependent Siblings Mobile No. belongs to Self Spouse Dependent Children Dependent Parents Guardian in case of minor Others Third DOB Mr. /Ms./M/s Applicant CKYC ID PAN / PEKRN STATUS: Resident Individual NRI (CKIN) Mobile No. Email ID (CAPITAL Letters Only) Email ID belongs to Dependent Parents ☐ Spouse ☐ Dependent Children Dependent Siblings ☐ Self Mobile No. belongs to Self Spouse ■ Dependent Children Dependent Siblings Dependent Parents Guardian in case of minor Others **HELIOS MUTUAL FUND - ACKNOWLEDGEMENT SLIP** FOLIO NO. Name of the Investor Mr/Ms/M/s Scheme Name, Plan & Option: Plan: Option: PAN NO All purchases are subject to realization of payment instrument. Please retain this slip, duly acknowledged by the official collection center till you received APPLICATION NO.

customercare@helioscapital.in

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Helios Capital Asset Management (India) Private Limited 515 A, 5th Floor, The Capital Plot C70, Bandra-Kurla Complex Bandra East, Mumbai-400 051.

Computer Age Management Services Ltd New No 10. Old No. 178, Opp. to Hotel Palm Grove, MGR Salai (K.H. Road), Chennai-600 034.

	⊕ www.heliosmf.in	customercare@helioscapital.in	18002100168 (Toll Free Number)
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2. NOMINATION FOR UNITS IN NON-DEMAT MODE (Nomination shall be optional for jointly held Mutual Fund Folios) (Refer instruction No.VI)												
A) I/We wish to nominate as under	OR	OR B) I / We hereby confirm that I / We do not wish to appoint any nominee(s) for my mutual fund units held in my / our mutual fund folio and understate implications / issues involved in non-appointment of any nominee(s) and am/ are further aware that in case of my demise / death of all the unit holders in the my / our legal heir(s) would need to submit all the requisite documents issued by the Court or such other competent authority, as may be required by the Fund / AMC for settlement of death claim / transmission of units in favour of the legal heir(s), based on the value of the units held in the mutual fund folio/s.								olders in the folio, red by the Mutual		
Name and Address of Nominee(s) (IN CAPITALS) (Mandatory)			minee Relationship (Mandatory)* oof to be attached)	Date of Birth Name of the Guardian (Mandatory) PAN and Address of Guardian (Optional) (Mandatory to be furnished in case the Nominee is a minor)				Guardian's Relationship with	Signature of Nominee (Optional)/ Guardian of Nominee (Mandatory)	Allocation % to each Nominee (should		
							nee	Nominee (Mandatory)		aggregate to 100%) (Mandatory)		
						NAME		Mother Father				
Nominee 1				DD MM YYYY		PAN		Legal Gaurdian				
Nominee 2				DD MM YYYY		NAME		Mother Father				
				DD IMIM TTTT		PAN		Legal Gaurdian				
Nominee 3				DD MM YYYY		NAME	-	Mother Father				
I/We have read and understood the in:	structions on no	mination and I/We	hereby undertake to	abide by the same.		PAN tructions contained herei		Legal Gaurdian es all previous nomir	nations made by	me/us in respect		
of the folio(s) mentioned above. To be signed by ALL holders, irrespec	tive of Mode of	Holding or Mode o	f Operation				-					
POA holder cannot nominate. Signature	anature of Sol	e/First Applicant		Signature o	of Second	d Applicant		Signature of	Third Applican	ıt		
								Signature of	типа Аррисан			
3. RESOLUTION OF DISPU Smart ODR OR	` `		·	·		d/or online arbitration	institutio	n in India.				
14. DECLARATION AND SIG	GNATURE											
I/We have read, understood the terms and conditions of the SID/KIM/SAI and the addendums issued thereto till date, as well as the rules and regulations of SEBI, AMFI, Prevention of Money Laundering Act, 2002, Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) under FATCA & CRS provision of the Central Board of Direct Taxes notified Rules 114 F to 114H, as part of the Income-tax Rules, 1962, and such other regulations as may be applicable to me/us from time to time and agree to comply with the same as a Unitholder. I /We hereby apply to the Trustees for allotment of Units of the Scheme(s) of Helios Mutual Fund ("Fund") and confirm and declare as follows: I/We am/are eligible Investor(s) as per the scheme related documents and not prolibited from accessing capital markets by any order/ruling /Judgment etc. passed by SEBI/Statutory Authority or Courts in India and Foreign laws. I/We am/are authorised to make this investment as per the Constitutive documents/ authorization(s). I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act / Regulations / Rules / Notifications / Directions or any other Applicable Laws enacted by the Government of India or any Statutory Authority. RIA Declaration: I/We hereby give you 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 managed by you, to the above-mentioned SEBI-Registered Investment Adviser/RIA. 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. I/We hereby declare that the above information is given by the undersigned and the particula												
Policy of the AMC, for which my/our details any indicative portfolio and/or any indicativ This will override the registry on DND / DN	e yield by the Fu	nd/AMC/its distribute										
Signature of Sole/First Applicant/Guardian Signature of Second Applicant Signature of Third Applicant												

CHECKLIST FOR APPLICATION FORM

IMPORTANT POINTS TO BE NOTED:

- * Effective from April 1, 2024, KYC status for the investors new to Helios Mutual Fund should be Validated or the application should be submitted along with the duly completed Re-KYC form with valid proofs. For more information refer following link: https://www.heliosmf.in/kyc-norms/
- * As per the New PAN validation process effective from April 30, 2024, name & date of birth on the application should be mentioned as per Income Tax Department (ITD) / PAN Card.
- Effective from May 15, 2024, Non-Resident Indian (NRI) Investors, can transact in Mutual Fund till April 30, 2025, if their KYC status is "Registered.
- It is mandatory to provide nomination details or opt out declaration for folios opened by individuals with single mode of holding. Nomination shall be optional for jointly held Mutual Fund folios.

Please submit the following documents with your application (where applicable)

SR.No.	Documents	Individuals	NRIs/ PIO/ OCI	Minors	Companies / Body Corporates	Trusts	Societies	HUF	Partnership Firms / LLP	FPIs	Investments through Constituted Attorney
1	Signed A/c Payee cheque/draft favouring the scheme	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
2	Copy of cancelled cheque (Required where pay out bank details are different from the instrument bank)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
3	Resolution / Authorisation to invest				✓	✓	✓		✓	✓	
4	List of Authorised Signatories with Specimen Signature(s)				✓	✓	✓		✓	✓	✓
5	Memorandum & Articles of Association				✓						
6	Trust Deed					✓					
7	Bye-Laws						✓				
8	Partnership Deed / Deed of Declaration							✓	✓		
9	Proof of PAN & KYC / CKYC - KIN number (including for guardian)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
10	Foreign Inward Remittance Certificate		✓							✓	
11	Date of Birth Certificate or School Living Certificate or Passport of Minor evidencing relationship with Guardian			✓							
12	Declaration for Identification of Beneficial ownership				✓	✓	✓	✓	✓	✓	✓
13	FATCA / CRS	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
14	PIO/OCI (As applicable)		✓								