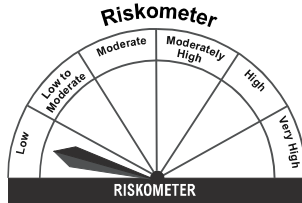
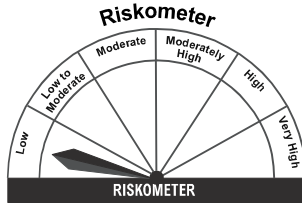


## KEY INFORMATION MEMORANDUM CUM APPLICATION FORM

### Shriram Nifty 1D Rate Liquid ETF

(An open ended Exchange Traded Fund replicating/ tracking Nifty 1D Rate Index.  
A relatively low interest rate risk and relatively low credit risk)

This product is suitable for investors who are seeking*:	Riskometer for the Scheme	Benchmark Riskometer
<ul style="list-style-type: none"> <li>A stable, liquid alternative to traditional savings accounts</li> <li>Safety and liquidity for short-term funds</li> </ul>	 <p><b>RISKOMETER</b></p> <p>Investors understand that their principal will be at low risk</p>	 <p><b>RISKOMETER</b></p> <p>Benchmark Riskometer is at low risk As per AMFI Tier 1 Benchmark i.e Nifty 1D Rate Index</p>

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

The above product labelling assigned during the New Fund Offer (NFO) is based on internal assessment of the scheme characteristics or model portfolio and the same may vary post NFO when actual investments are made.

#### Potential Risk Class ("PRC") Matrix of the Scheme

Credit Risk→	Relatively Low (Class A)	Moderate (Class B)	Relatively High (Class C)
Interest Rate Risk↓			
Relatively Low (Class I)	A1		
Moderate (Class II)			
Relatively High (Class III)			

Offer for units of Rs. 1000/- per unit for cash at par during the New Fund Offer and At NAV related prices upon re-opening

<p><b>New Fund Offer opens on: July 01, 2024</b>  <b>New Fund Offer closes on: July 03, 2024</b>  <b>Scheme Re-opens for continuous sale and repurchase on: July 09, 2024</b></p>
<p>Note: Any modification to the New Fund Offer Period shall be announced by way of an Addendum uploaded on website of the AMC</p>

<b>Name of Mutual Fund:</b>	<b>Shriram Mutual Fund</b> Address : Shriram House No. 4, Burkit Road, T. Nagar, Chennai - 600 017
<b>Name of Asset Management Company :</b>	<b>Shriram Asset Management Company Limited</b> (CIN: L65991MH1994PLC079874)
<b>Name of Trustee Company :</b>	<b>Board of Trustees, Shriram Mutual Fund</b>
<b>Address :</b>	Registered Office : 217, 2nd Floor, Swastik Chambers, Near Junction of S.T. & C.S.T. Road, Chembur, Mumbai-400 071, India
<b>Website :</b>	<b>www.shriramamc.in</b>

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.shriramamc.in

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.

The date of this Key Information Memorandum : April 29, 2024

The units of the Scheme are proposed to be listed on the National Stock Exchange of India Ltd. (NSE) and BSE Limited (BSE). All investors including Market Makers and Large Investors can subscribe (buy) / redeem (sell) units on a continuous basis on the NSE/BSE on which the Units are listed during the trading hours on all the trading days. In addition, ongoing purchases directly from the Mutual Fund would be restricted to Market Makers (MM) provided the value of units to be purchased is in Creation Unit size and in multiples thereof. Large investors can transact directly with the Fund for an amount greater than 25 crores.



**DISCLAIMER OF NSE:**

As required, a copy of this Scheme Information Document has been submitted to National Stock Exchange of India Limited (hereinafter referred to as NSE). NSE has given vide its letter Ref No.: NSE/LIST/5676 dated May 09, 2024 permission to the Mutual Fund to use the Exchange's name in this Scheme Information Document as one of the stock exchanges on which the Mutual Fund's Units are proposed to be listed subject to, the Mutual Fund fulfilling the various criteria for listing. The Exchange has scrutinised this Scheme Information Document for its limited internal purpose of deciding on the matter of granting the aforesaid permission to the Mutual Fund. It is to be distinctly understood that the aforesaid permission given by NSE should not in any way be deemed or construed that the Scheme Information Document has been cleared or approved by NSE; nor does it in any manner warrant, certify or endorse the correctness or completeness of any of the contents of this Scheme Information Document; nor does it warrant that the Mutual Fund's Units will be listed or will continue to be listed on the Exchange; nor does it take any responsibility for the financial or other soundness of the Mutual Fund, its Sponsors, its management or any scheme of the Mutual Fund.

Every person who desires to apply for or otherwise acquire any Units of the Mutual Fund may do so pursuant to independent inquiry, investigation and analysis and shall not have any claim against the Exchange whatsoever by reason of any loss which may be suffered by such person consequent to or in connection with such subscription /acquisition whether by reason of anything stated or omitted to be stated herein or any other reason whatsoever.

**DISCLAIMER OF BSE:**

"BSE Ltd. ("the Exchange") has given its letter no. LO/IPO/AH/MF/IP/008/2024-25 dated May 14, 2024 permission to use the Exchange's name in this SID as one of the Stock Exchanges on which this Mutual Fund's Units are proposed to be listed. The Exchange has scrutinised this SID for its limited internal purpose of deciding on the matter of granting the aforesaid permission to. The Exchange does not in any manner:-

- i) warrant, certify or endorse the correctness or completeness of any of the contents of this SID; or
- ii) warrant that this scheme's units will be listed or will continue to be listed on the Exchange; or
- iii) take any responsibility for the financial or other soundness of this Mutual Fund, its promoters, its management or any scheme or project of this Mutual Fund.

And it should not for any reason be deemed or construed that this SID has been cleared or approved by the Exchange.

Every person who desires to apply for or otherwise acquires any unit of this Fund may do so pursuant to independent inquiry, investigation and analysis and shall not have any claim against the Exchange whatsoever by reason of any loss which may be suffered by such person consequent to or in connection with such subscription/ acquisition whether by reason of anything stated or omitted to be stated herein or any other reason whatsoever.





### ONE TIME AUTHORISATION FORM FOR NACH/ECS/DIRECT DEBIT/STANDING INSTRUCTION

UMRN

Date

Tick

Sponsor Bank Code

Utility Code

CREATE  I/We hereby authorize **SHRIRAM MUTUAL FUND** to debit (tick ) SB CA CC SB-NRE SB-NRO Other

MODIFY  Bank a/c number

CANCEL

with Bank  Name of Customers Bank IFSC  or MICR

an amount of Rupees  In words ₹

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

Folio No.  Phone No.

Reference  Email ID

I agree for the debit of Mandate processing charges by the Bank whom I am authorizing to debit my account as per latest Schedule of charges of the Bank.

Period From

To

1.  2.  3.

\* This is to confirm that the declaration has been carefully read, understood and made by me/us. I am authorising the user entity/corporate to debit my account.  
\* I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the user entity/corporate or the bank where I have authorised the debit.  
I/We hereby declare that the above information is true and correct and that the mobile number listed above is registered in my/our name(s) and/or is the number that I/we use in the ordinary course. I/We hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now or subsequent to the date hereof. I/We consent to the Bank communicating to me/us about the transactions carried out in my/our aforesaid account(s).

### **Instructions to fill OTA**

1. UMRN is auto generated during mandate creation and is mandatory to be updated during amendment and cancellation of mandate. (maximum length - 20 Alpha Numeric Characters)
2. Date in DD/MM/YYYY format.
3. Tick on box to select type of actions to be initiated.
4. Tick on box to select type of actions to be affected.
5. Customer's legal account number, left padded with zeroes. (Maximum length - 35 Alpha Numeric Characters)
6. Name of the Bank and Branch.
7. IFSC/MICR code of customer bank. (Maximum length - 11 Alpha Numeric Characters)
8. Amount payable for service of maximum amount per transaction that could be processed, in words.
9. Amount figures, similar to the amount mentioned in words (Maximum length - 13 digits Numeric, in paisa)
10. Mention Loan Account number.
11. Type of loan in Reference Box.
12. Tick on box to select frequency of transaction.
13. Validity of mandate with dated in DD/MM/YYYY format.
14. Names of customer/s and signatures as well as seal of Company (where required). (Maximum length of Name 40 alpha Numeric Characters)
15. Undertaking of customer.
16. Telephone no. with STD code of customer or 10 digit mobile number of customer.
17. Mail of customer.
18. End date cannot be more than 40 years from the date of mandate.

<b>Investment Objective</b>	The investment objective of the Scheme is to invest in Tri Party Repo on Government securities or treasury bills (TREPS). The Scheme aims to provide investment returns that, before expenses, correspond to the returns of the NIFTY 1D Rate Index, subject to tracking error. There is no assurance or guarantee that the investment objective of the Scheme will be achieved.																											
<b>Asset Allocation Pattern of the scheme</b>	<p>Under normal circumstances, the anticipated asset allocation pattern of the Scheme would be as under:</p> <table border="1" data-bbox="331 338 1508 488"> <thead> <tr> <th rowspan="2">Instruments</th> <th colspan="2">Indicative Allocations (% of total assets)</th> </tr> <tr> <th>Minimum</th> <th>Maximum</th> </tr> </thead> <tbody> <tr> <td>A. Tri-Party Repo on Government Securities or T-bills, Reverse repo &amp; Cash and Cash equivalents</td> <td>95%</td> <td>100%</td> </tr> <tr> <td>B. Other money market instruments with a residual maturity of upto 30 days#</td> <td>0%</td> <td>5%</td> </tr> </tbody> </table> <p>#In accordance with the provisions of Para 2.6 of the Master Circular, as amended from time to time, the scheme may deploy upto 5% of its net assets in G-secs and/or T-bills with a residual maturity of upto 30 days for the purpose of placing the same as margin and collateral for certain transactions. The Scheme would invest all its funds in Tri-Party Repo on Government Securities or T-bills/ Repo &amp; Reverse Repo predominantly and other money market instruments*.</p> <p>*Money market instruments include, but are not limited to Treasury Bills, Commercial Paper of Public Sector Undertakings and Private Sector Corporate Entities, Term Money, Tri-party Repo, Certificates of Deposit of Scheduled Commercial Banks, Financial Institutions and Development Financial Institutions, Government securities with unexpired maturity of one year or less and other Money Market securities as may be permitted by SEBI / RBI from time to time and in the manner prescribed under the Regulations.</p> <p>The scheme may invest upto 5% of net assets in Overnight schemes of the Mutual Fund without charging any fees, provided that aggregate inter-scheme investment made by all schemes under the management of Shriram Asset Management Company Limited or in schemes under the management of any other asset management company shall not exceed 5% of the net asset value of Shriram Mutual Fund. The AMC shall not charge any investment management fees with respect to such investment.</p> <p>(Indicative Table (Actual instrument/percentages may vary subject to applicable SEBI circulars))</p> <table border="1" data-bbox="331 786 1508 1086"> <thead> <tr> <th>Sl. No.</th> <th>Type of Instrument</th> <th>Percentage of exposure</th> <th>Circular references*</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Gross Exposure</td> <td>The cumulative gross exposure through TREPS, money market instruments and such other securities/assets as may be permitted by the Board from time to time shall not exceed 100% of the net assets of the scheme. However, cash and cash equivalents with residual maturity of less than 91 days may be treated as not creating any exposure.</td> <td>Para 12.18.1.2 of SEBI Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023</td> </tr> <tr> <td>2</td> <td>Short term deposits of scheduled commercial banks</td> <td>As per SEBI circular no. 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<b>Investment Strategy</b>	<p>The Scheme will track Nifty 1D Rate Index and will use a "passive" or indexing approach to endeavour to achieve the scheme's investment objective. The AMC does not make any judgments about the investment merit of a particular security nor will it attempt to apply any economic, financial or market analysis. Indexing eliminates active management risks with regard to over/ underperformance vis-à-vis a benchmark.</p> <p>The fund manager's endeavor would be to rebalance the portfolio in order to mirror the index; however, there may be a short period where the constituents of the portfolio may differ from that of the asset allocation of the scheme. In case of any deviation from the asset allocation pattern, the portfolio shall be rebalanced by AMC within 7 days from the date of said deviation.</p> <p>Though every endeavor will be made to achieve the objective of the Scheme, the AMC/Sponsors/Trustee does not guarantee that the investment objective of the Scheme will be achieved. No guaranteed returns are being offered under the Scheme.</p> <p><b>PORTFOLIO TURNOVER:</b></p> <p>Portfolio Turnover is a term used to measure the volume of trading that occurs in a Scheme's portfolio during a given time period. The scheme being a passively managed open-ended exchange traded fund, it is expected that there would be a number of subscriptions and redemptions on a daily basis. Hence, it is difficult to estimate with any reasonable measure of accuracy, the likely turnover in the portfolio. Generally, turnover will depend upon the extent of purchase and redemption of units and the need to rebalance the portfolio on account of change in the composition, if any, and corporate actions of securities included in the Index. The Scheme has no specific target relating to portfolio turnover. The effect of higher portfolio turnover could be higher brokerage and transaction costs.</p> <p><b>Portfolio Turnover Ratio:</b> Not Applicable</p> <p><b>Overview of Debt Market:</b> The major players in the Indian Debt Markets today are banks, financial institutions, insurance companies and mutual funds. The instruments in the market can be broadly categorized as those issued by corporate, banks, financial institutions and those issued by state/central governments. The risk associated with any investments are – credit risk, interest rate risk and liquidity risk. While corporate papers carry credit risk due to changing business conditions, government securities are perceived to have zero credit risk. Interest rate risk is present in all debt securities and depends on a variety of macroeconomic factors. The liquidity risk in corporate securities market is higher compared to those of government securities. Liquidity in the corporate debt market has been improving due to the entry of more players and due to various measures taken by the regulators in this direction over a period of time.</p>																											

<p><b>Risk Profile of the Scheme</b></p>	<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: The Scheme is subject to the specific risks that may adversely affect the Scheme's NAV, return and / or ability to meet its investment objective. The specific risk factors related to the Scheme include, but are not limited to the following:</p> <p><b>Risk associated with Exchange Traded Funds:</b></p> <ol style="list-style-type: none"> <li>Absence of Prior Active Market: Although the units of ETFs are listed on the Stock Exchange for trading, there can be no assurance that an active secondary market will develop or be maintained.</li> <li>Lack of Market Liquidity: Trading in units of ETFs on the Stock Exchange on which it is listed may be halted because of market conditions or for reasons that, in the view of the concerned Stock Exchange or Market Regulator, trading in the ETF Units is inadvisable. In addition, trading in the units of ETFs is subject to trading halts caused by extraordinary market volatility pursuant to 'circuit breaker' rules. There can be no assurance that the requirements of the concerned Stock Exchange necessary to maintain the listing of the units of ETFs will continue to be met or will remain unchanged.</li> <li>Units of Exchange Traded Funds May Trade at Prices Other than NAV: Units of Exchange Traded Funds may trade above or below their NAV. The NAV of Units of Exchange Traded Funds may fluctuate with changes in the market value of a Scheme's holdings. The trading prices of units of the ETF will fluctuate in accordance with changes in their NAVs as well as market supply and demand. However, given that ETFs can be created / redeemed in Creation Units, directly with the fund and disclosure of iNAV as stipulated by regulations, large discounts or premiums to the NAVs may not be sustainable.</li> <li>Regulatory Risk: Any changes in trading regulations by the Exchange or SEBI may affect ability of the market maker to arbitrage resulting into wider premium/ discount to NAV. Although Shriram Nifty 1D Rate Liquid ETF is proposed to be listed on the Exchange, the AMC and the Trustees will not be liable for delay in listing of Units of the Scheme on the Exchange / or due to connectivity problems with the depositories due to the occurrence of any event beyond their control.</li> <li>Political Risks: Whereas the Indian market was formerly restrictive, a process of deregulation has been taking place over recent years. This process has involved removal of trade barriers and protectionist measures, which could adversely affect the value of investments. It is possible that the future changes in the Indian political situation, including political, social or economic instability, diplomatic developments and changes in laws and regulations could have an effect on the value of investments. Expropriation, confiscatory taxation or other relevant developments could affect the value of investments.</li> <li>Right to Limit Redemptions: The Trustees, in the general interest of the unit holders of the Scheme offered under this Scheme Information Document and keeping in view of the unforeseen circumstances/unusual market conditions, may limit the total number of Units which can be redeemed on any Business Day depending on the total "Saleable Underlying Stock" available with the fund.</li> <li>Redemption Risk: The Unit Holders may note that even though this is an open ended scheme, the Scheme would ordinarily repurchase Units in Creation Unit size. Thus, unit holdings less than the Creation Unit size can normally only be sold through the secondary market except situations mentioned under 'Exit opportunity in case of ETF for investors other than Market Makers and Large Investors' in the SID.</li> <li>Asset Class Risk: The returns from the types of securities in which a Scheme invests may underperform returns from the various general securities markets or different asset classes. Different types of securities tend to go through cycles of out-performance and underperformance in comparison of the general securities markets.</li> <li>Passive Investments: As the Scheme is not actively managed, the underlying investments may be affected by a general decline in the Indian markets relating to its Underlying Index. The scheme invests in the securities included in its underlying index regardless of their investment merit. The AMC does not attempt to take defensive positions in declining markets. Further, the fund manager does not make any judgement about the investment merit nor shall attempt to apply any economic, financial or market analysis.</li> <li>Tracking Error/ Tracking Difference Risk: Tracking Error &amp; Tracking Difference may arise including but not limited to the following reasons: <ul style="list-style-type: none"> <li>Expenditure incurred by the fund.</li> <li>The holding of cash positions. The fund may not be invested at all time as it may keep a portion of the funds in cash to meet redemptions.</li> <li>The fund will deploy available funds into TRI-PARTY REPO at various points during the day, which may differ from weighted average rate published by CCIL at end of the day (considered for index return computation).</li> <li>Execution of large buys / sell orders.</li> <li>Transaction cost.</li> <li>Realization of Unit holders funds.</li> </ul> </li> </ol> <p><b>Risk specific to investing in securities forming part of Nifty 1D Rate Index:</b></p> <ol style="list-style-type: none"> <li>Shriram Nifty 1D Rate Liquid ETF is a passively managed ETF i.e. the amount collected under the scheme is invested in securities comprising the underlying index in the same weightages as they have in the underlying index.</li> <li>The composition of the underlying index is subject to changes that may be affected periodically by the Index Service Provider.</li> <li>Performance of the underlying index will have a direct bearing on the performance of the scheme.</li> <li>The extent of the Tracking error may have an impact on the performance of the scheme.</li> </ol> <p><b>Tracking Error Risk:</b> The Fund Manager would not be able to invest the entire corpus exactly in the same proportion as in the underlying index due to certain factors such as the fees and expenses of the respective scheme, corporate actions, cash balance, changes to the underlying index and regulatory policies which may affect AMC's ability to achieve close correlation with the underlying index of the scheme. The scheme's returns may therefore deviate from those of its underlying index.</p> <p><b>Tracking Difference Risk:</b> The Fund Manager may not be able to invest the entire corpus exactly in the same proportion as in the underlying index or goods due to certain factors such as the fees and expenses of the scheme, corporate actions, cash balance, changes to the underlying index and regulatory policies which may affect AMC's ability to achieve close correlation with the underlying index of the scheme. The scheme's returns may therefore deviate from those of its underlying index. Tracking Difference is the Difference of returns between the Scheme and the Benchmark Index annualized over 1 year, 3 Year, 5 Year, 10 year and Scheme Since Inception period.</p> <p>The fund manager will endeavour to limit the tracking difference over a one-year period within 1.25%. In case the average annualized tracking difference over 1-year period for Scheme is higher than 1.25%, the same will be brought to the notice of Trustees with corrective actions taken by the AMC. However, there can be no assurance or guarantee that the Scheme will achieve any particular level of tracking error/ difference relative to performance of the Underlying Index. Tracking Difference shall be disclosed only if the scheme has completed 1 year period. The Tracking difference shall be disclosed on a monthly basis on <a href="http://www.shriramamc.in">www.shriramamc.in</a> and AMFI website <a href="http://www.amfiindia.com">www.amfiindia.com</a>.</p> <p><b>Risks associated with Debt and Money Market Instruments or Fixed Income Securities</b></p> <p><b>Credit Risk:</b> This is the risk associated with the issuer of a debenture/bond or a Money Market Instrument defaulting on coupon payments or in paying back the principal amount on maturity. Even when there is no default, the price of a security may change with expected changes in the credit rating of the issuer. It is to be noted here that a Government Security is a sovereign security and is the safest. Corporate bonds carry a higher amount of credit risk than Government Securities. Within corporate bonds also there are different levels of safety and a bond rated higher by a particular rating agency is safer than a bond rated lower by the same rating agency.</p> <p><b>Price-Risk or Interest-Rate Risk:</b> From the perspective of coupon rates, debt securities can be classified in two categories, i.e. Fixed Income Bearing securities and Floating Rate securities. In Fixed Income bearing securities, the coupon rate is determined at the time of investment and paid/received at the predetermined frequency. In the Floating Rate Securities, on the other hand, the coupon rate changes - 'floats' - with the underlying benchmark rate, e.g., MIBOR, 1 yr. Treasury Bill.</p> <p>Fixed Income Securities (such as Government Securities, bonds, debentures and money market instruments) where a fixed return is offered, run price-risk. Generally, when interest rates rise, prices of fixed income securities fall and when interest rates drop, the prices increase. The extent of fall or rise in the prices is a function of the existing coupon, the payment-frequency of such coupon, days to maturity and the increase or decrease in the level of interest rates. The prices of Government Securities (existing and new) will be influenced only by movement in interest rates in the financial system. Whereas, in the case of corporate or institutional fixed income securities, such as bonds or debentures, prices are influenced not only by the change in interest rates but also by credit rating of the security and liquidity thereof.</p> <p>However, debt securities in the scheme are intended to be held till maturity. For such securities held till maturity, there will not be any interest rate risk</p>
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at the end of the tenure.

Floating rate securities issued by a government have the least sensitivity to interest rate movements, as compared to other securities. The Government of India has already issued a few such securities and the Investment Manager believes that such securities may become available in future as well. These securities can play an important role in minimising interest rate risk on a portfolio.

**Liquidity Risk:** The Indian debt market is such that a large percentage of the total traded volumes on particular days might be concentrated in a few securities. Traded volumes for particular securities differ significantly on a daily basis. Consequently, the scheme might have to incur a significant "impact cost" while transacting large volumes in a particular security.

**Reinvestment Risk:** Investments in fixed income securities carry reinvestment risk as interest rates prevailing on the coupon payment or maturity dates may differ from the original coupon of the bond.

**Basis Risk:** The underlying benchmark of a floating rate security or a swap might become less active or may cease to exist and thus may not be able to capture the exact interest rate movements. This may result in loss of value of the portfolio.

**Spread Risk:** In a floating rate security the coupon is expressed in terms of a spread or mark up over the benchmark rate. During the tenure of the security this spread may move adversely or favourably leading to fluctuations in value of the portfolio. The yield of the underlying benchmark might not change, but the spread of the security over the underlying benchmark might increase leading to loss in value of the security.

**Risk of Rating Migration:** It may be noted that the price of a rated security would be impacted with the change in rating and hence, there is risk associated with such migration.

Following table illustrates the impact of change of rating on the price of a hypothetical .AA' rated security with a maturity period of 3 years, a coupon of 9.00% p.a. and a market value of Rs. 100. If it is downgraded to .A' category, which commands a market yield of, say, 10.00% p.a., its market value would drop to Rs. 97.51 (i.e. 2.49%) If the security is up-graded to .AAA' category which commands a market yield of, say, 8.00% p.a. its market value would increase to Rs. 102.58 (i.e. by 2.58%). The figures shown in the table are only indicative and are intended to demonstrate how the price of a security can be affected by change in credit rating.

Rating	Yield (% p.a.)	Market Value (Rs.)
Existing Rating of AA	9.00	100.00
If upgraded to AAA	8.00	102.58
If downgraded to A	10.00	97.51

**Counterparty and Settlement Risk:** Counterparty and settlement risk is the probability that the other party may not fulfil its part of the deal and may default on the contractual obligations. This risk comprises credit and liquidity risk both. Corporate Bond Repo will be settled between two counterparties in the OTC segment unlike in the case of TREPS transactions where CCIL stands as central counterparty on all transactions (no settlement risk). Settlement risk in reverse repo will be mitigated by requiring the counterparty (entity borrowing funds from the Mutual Fund) to deliver the defined collateral in the account of the MF before the cash is lent to the counterparty. Further, the Mutual Fund will also have a limited universe of counterparties, but not limited to, comprising of Scheduled Commercial Banks, Primary Dealers, Mutual Funds and National Financial Institutions.

**Legislative Risk:** Changes in government policy in general and changes in tax benefits applicable to Mutual Funds may impact the returns to investors in the scheme.

**Prepayment risk:** Certain Fixed Income securities give an issuer the right to call back its securities before their maturity date, in periods of declining interest rates. The possibility of such prepayment may force the fund to reinvest the proceeds of such investments in securities offering lower yields, resulting in lower interest income for the fund.

Different types of securities in which the scheme would invest as given in the SID carry different levels and types of risk. Accordingly the scheme's risk may increase or decrease depending upon its investment pattern. E.g. corporate bonds carry a higher amount of risk than Government securities. Further even among corporate bonds, bonds, which are AA rated, are comparatively more risky than bonds, which are AAA rated.

**Risks associated with investing in Tri Party Repo through CCIL (TREPS)**

The mutual fund is a constituent member of the securities segment and Tri-party Repo trade settlement of the Clearing Corporation of India (CCIL). All transactions of the mutual fund in government securities and in Tri-party Repo trades are settled centrally through the infrastructure and settlement systems provided by CCIL; thus, reducing the settlement and counterparty

risks considerably for transactions in the said segments.

CCIL maintains prefunded resources in all the clearing segments to cover potential losses arising from the default member. In the event of a clearing member failing to honour his settlement obligations, the default Fund is utilised to complete the settlement. The sequence in which the above resources are used is known as the "Default Waterfall".

As per the waterfall mechanism, after the defaulter's margins and the defaulter's contribution to the default fund have been appropriated, CCIL's contribution is used to meet the losses. Post utilisation of CCIL's contribution if there is a residual loss, it is appropriated from the default fund contributions of the non-defaulting members.

Thus, the scheme is subject to risk of the initial margin and default fund contribution being invoked in the event of failure of any settlement obligations. In addition, the fund contribution is allowed to be used to meet the residual loss in case of default by the other clearing member (the defaulting member).

Further, it may be noted that, CCIL periodically prescribes a list of securities eligible for contributions as collateral by members. Presently, all Central Government securities and Treasury bills are accepted as collateral by CCIL. The risk factors may undergo change in case the CCIL notifies securities other than Government of India securities as eligible for contribution as collateral.

**Risks associated with investing in Government of India Securities**

Market Liquidity risk with fixed rate Government of India Securities: Even though the Government of India Securities market is more liquid compared to other debt instruments, on certain occasions, there could be difficulties in transacting in the market due to extreme volatility leading to constriction in market volumes. Also, the liquidity of the Scheme may suffer in case the relevant guidelines issued by Reserve Bank of India undergo any adverse changes.

**Risk factors associated with processing of transactions through Stock Exchange Mechanism**

The trading mechanism introduced by the Stock Exchange(s) is configured to accept and process transactions for mutual fund Units in both Physical and Demat Form. The allotment and/or redemption of Units through NSE and/or BSE or any other authorised Stock Exchange(s), on any Business Day will depend upon the modalities of processing viz. collection of application form, order processing /settlement, etc. upon which the Fund has no control. Moreover, transactions conducted through the Stock Exchange mechanism shall be governed by the operating guidelines and directives issued by respective recognized Stock Exchange(s). Accordingly, there could be negative impacts to the investors such as delay or failure in allotment / redemption of units. The Fund and the AMC are not responsible for the negative impacts.

**Risks associated with segregated portfolio:**

The unit holders may note that no redemption and subscription shall be allowed in the segregated portfolio. However, in order to facilitate exit to unit holders in the segregated portfolio, the AMC shall enable listing of units of segregated portfolio on the recognized stock exchange.

The risks associated in regard to the segregated portfolio are as follows:

- The investors holding units of the segregated portfolio may not be able to liquidate their holdings till the time of recovery of money from the issuer.
- The security comprising the segregated portfolio may not realise any value.
- Listing units of the segregated portfolio on a recognized stock exchange does not necessarily guarantee their liquidity. There may not be active trading of units of the segregated portfolio on the stock exchange.
- The trading price of units on the stock exchange may be significantly lower than the prevailing Net Asset Value (NAV) of the segregated portfolio. For details on risk factors and risk mitigation measures, please refer SID.

<b>Plans and Options</b>	There are no plans under the Scheme. The scheme offers only Growth Option. The Trustees/ AMC reserves the right to introduce further Plan/ Options as and when deemed fit, subject to the SEBI (MF) Regulations.	
<b>Applicable NAV (after the scheme opens for subscriptions and redemptions)</b>	<b>Particulars</b>	<b>Applicable NAV</b>
	1. Where the application is received up to cut-off time of 1:30 p.m. on a Business Day at the official point(s) of acceptance and funds for the entire amount of subscription / purchase are available for utilization before the cut-off time.	NAV at the close of the day immediately preceding the day of receipt of application shall be applicable
	2. Where the application is received at the official point(s) of acceptance on a Business Day, irrespective of the time of receipt of subscription/purchase application, and the funds are not available for utilization before the cut-off time of 1:30 p.m. on the same Business Day.	NAV at the close of the day immediately preceding the Business Day on which the funds are available for utilization shall be applicable.
	3. Where the application is received after 1:30 p.m. on a day at the Official Point(s) of Acceptance and the entire funds are available for utilization on the same day without availing any credit facility, whether, intra-day or otherwise.	NAV at the close of the day immediately preceding the next Business Day.
	The above provisions of Cut-off timings for Subscriptions are applicable for Purchase of Units directly with the Fund. However, Shriram Nifty 1D Rate Liquid ETF, being an Exchange Traded Fund (ETF), the above provisions will not be applicable for Purchase of Units on the stock exchanges in which case the timings of the stock exchange will be applicable.	
	<b>Cut off timing for Redemptions:</b>	
<b>Particulars</b>	<b>Applicable NAV</b>	
Where the application is received upto 3.00 p.m.	The closing NAV of the day immediately preceding the next business day.	
Where the application is received after 3.00 p.m.	The closing NAV of the next business day	
<p>Note: In case the application is received on a Non-Business Day, it will be considered as if received on the Next Business Day.</p> <p>As the units issued under the scheme are listed, the provisions of the Cut-off timing are not applicable for transactions on the stock exchange.</p> <p>Pursuant to Para 3.6.2.3 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMDPoD 1/P/CIR/2023/74 dated May 19, 2023, the aforesaid cut off timing shall not be applicable for direct transaction with AMCs by Market-Makers and other eligible investors.</p> <p><b>Purchase/Sale of Units of the Scheme on NSE/ BSE:</b></p> <p>An investor can buy/sell Units on a continuous basis on the NSE / BSE or any other stock exchange on which the Units are listed during the trading hours on all trading days like any other publicly traded stock at prices which may be close to the NAV of the Scheme. Therefore, the provisions of Cut-off timing for subscriptions/ redemptions will not be applicable.</p> <p><b>Transactions through online facilities / electronic modes:</b></p> <p>The time of transaction done through various online facilities / electronic modes offered by the AMC, for the purpose of determining the applicability of NAV, would be the time when the request for purchase / sale / switch of units is received in the servers of AMC/RTA. In case of transactions through online facilities / electronic modes, there may be a time lag of upto 5-7 banking days between the amount of subscription being debited to investor's bank account and the subsequent credit into the respective Scheme's bank account. This lag may impact the applicability of NAV for transactions where NAV is to be applied, based on actual realization of funds by the Scheme. Under no circumstances will Shriram AMC or its bankers or its service providers be liable for any lag / delay in realization of funds and consequent pricing of units.</p> <p>The AMC has the right to amend cut off timings subject to SEBI (MF) Regulations for the smooth and efficient functioning of the Scheme.</p> <p><b>Exchange Platforms:</b> The cut – off timing and applicability of Net Asset Value (NAV) shall be subject to the guidelines issued by SEBI in this regard. With respect to investors who transact through stock exchange, applicable NAV shall be reckoned on the basis of the time stamping as evidenced by confirmation slip given by stock exchange mechanism and subject to receipt of funds by AMC/Mutual Fund before the cut – off time of the Scheme.</p>		
<b>Minimum Application Amount/ Number of Units</b>	<b>Purchase</b>	Rs. 1,000/- and in multiples of Re. 1/- thereafter
	<b>Additional Purchase</b>	Rs. 1,000/- and in multiples of Re. 1/- thereafter
	<b>Redemption</b>	In Value/Amount: Rs. 1000/- and in multiples of Re. 1/- or account balance whichever is lower; In Units: There will be no minimum redemption criterion for Unit based redemption. In case the Investor specifies the number of Units and amount both, the number of Units shall be considered for Redemption. In case the Unit holder does not specify the number or amount, the request will not be processed.
Note: In accordance with the regulatory requirement, the minimum application amount and minimum redemption amount will not be applicable for investment made in schemes of the Fund in compliance with the SEBI circular no. SEBI/HO/IMD/IMDI/DOF5/P/CIR/2021/553 dated April 28, 2021 read along with SEBI circular no. SEBI/HO/IMD/IMDI/DOF5/P/CIR/2021/629 dated September 20, 2021		
<b>Despatch of Redemption Request</b>	Within three working days of the receipt of the redemption request at the authorised centre of the Shriram Mutual Fund. A penal interest of 15% per annum or such other rate as may be prescribed by SEBI from time to time, will be paid in case the redemption proceeds are not despatched within 3 working Days of the date of valid redemption request.	
<b>Benchmark Index</b>	Nifty 1D Rate Index	
<b>Distribution Policy (i.e. Dividend Policy)</b>	Not Applicable	
<b>Name of the Fund Manager</b>	Mr. Deepak Ramaraju & Ms. Gargi Bhattacharyya Banerjee	
<b>Name of The Trustee Company / Board of Trustees :</b>	Board of Trustees, Shriram Mutual Fund	
<b>Performance of The Scheme:</b>	Shriram Nifty 1D Rate Liquid ETF is a new scheme and does not have any performance track record.	
<b>Additional Scheme Related Disclosures</b>	Not Applicable	
<b>Expenses of the Scheme</b>	Exit Load is an amount which is paid by the investor to redeem the units from the scheme. Load amounts are variable and are subject to change from time to time. For the current applicable structure, please refer to the website of the AMC ( <a href="http://www.shriramamc.in">www.shriramamc.in</a> ) or may call your distributor.	
<b>Load Structure</b>	<b>Type of Load</b>	<b>Load chargeable (as% age of NAV)</b>
	Exit	Nil.

<b>Recurring Expenses</b>	<p>The investor is requested to check the prevailing load structure of the scheme before investing. For any change in load structure AMC will inter alia issue an addendum and display it on the website / Investor Service Centers.</p> <p>Under the Scheme, the Trustee / AMC reserves the right to modify / change the Load structure if it so deems fit in the interest of smooth and efficient functioning of the Mutual Fund. The AMC reserves the right to introduce / modify the Load Structure depending upon the circumstances prevailing at that time subject to maximum limits as prescribed under the SEBI (MF) Regulations. The Load may also be changed from time to time and in the case of an Exit / Redemption Load this may be linked to the period of holding. Exit load (net of GST) charged, if any, shall be credited to the Scheme.</p> <p>The investor is requested to check the prevailing load structure of the Scheme before investing.</p> <p>Any imposition or enhancement of Load in future shall be applicable on prospective investments only.</p> <p>At the time of changing the Load Structure:</p> <ol style="list-style-type: none"> <li>The addendum detailing the changes will be attached to SIDs and Key Information Memorandum. The addendum may be circulated to all the distributors / brokers so that the same can be attached to all Scheme Information Documents and Key Information Memoranda already in stock.</li> <li>The addendum will be displayed on the website of the Mutual Fund and arrangements will be made to display the addendum in the form of a notice in all the Investor Service Centres and distributors /brokers' office.</li> <li>The introduction of the exit load along with the details will be stamped in the acknowledgement slip issued to the investors on submission of the application form and will also be disclosed in the accounts statement issued after the introduction of such load.</li> <li>A public notice shall be given in respect of such changes in one English daily newspaper having nationwide circulation as well as in a newspaper published in the language of region where the Head Office of the Mutual Fund is situated.</li> <li>Any other measure which the Mutual Fund may consider necessary.</li> </ol>	
	The AMC has estimated that upto 1.00 % of the daily net assets of the scheme will be charged to the scheme as expenses as per the table below:	
	<b>Expense Head</b>	<b>Shriram Nifty 1D Rate Liquid ETF (% p.a. of net assets) (Estimated p.a.)</b>
	Investment Management and Advisory Fee	Upto 1.00
	Trustee Fee	
	Custodian Fees	
	Registrar and Transfer Agent Fees	
	Audit Fees	
	Marketing and Selling Expenses including agents' commission	
	Costs related to investor communications	
	Costs of Statutory Advertisement	
	Brokerage & Transaction Cost over and above 12 bps for cash market trades	
	Cost of fund transfer from location to location	
	Cost of providing account statements	
	Goods and Services Tax on expenses other than investment and advisory fees	
Goods and Services Tax on brokerage & transaction cost		
Cost towards investor education & awareness (at least 1 bps)		
Other Expenses*		
Maximum total expense ratio (TER) permissible under Regulation 52(6)(c)(i) and (6)(a)	Upto 1.00	
Additional expenses under regulation 52 (6A) (c)&		
Additional expenses for gross new inflows from specified cities under regulation 52 (6A) (b) ^	Upto 0.30	
The aforesaid does not include Goods and Services Tax on investment management and advisory fees. The same is more specifically elaborated below.		
<p>As permitted under the Regulation 52 of SEBI (MF) Regulations, 1996 and pursuant to Para 10.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, SEBI (Mutual Funds) Second Amendment Regulations, 2012 and SEBI (Mutual Funds) (Fourth Amendment) Regulations 2018.</p> <p><b># Note : Direct Plan shall have a lower expense ratio as compared to Regular plan excluding distribution expenses, commission, etc &amp; no commission for distribution of units will be paid / charged under Direct Plan.</b></p> <p>The NAV of Direct Plan and Regular Plan shall be different.</p> <p>^ Expenses not exceeding of 0.30 per cent of daily net assets, if the new inflows from such cities as specified by SEBI 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. &amp; In terms of Para 10.1.7 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, in case exit load is not levied / not applicable, the AMC shall not charge the said additional expenses.</p> <p>Investor Education and Awareness initiatives</p> <p>As per Para 10.1.16 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, the AMC shall annually set apart at least 1 basis points p.a. (i.e. 0.01% p.a.) on daily net assets of the Plan(s) under the Scheme within the limits of total expenses prescribed under Regulation 52 of SEBI (MF) Regulations for investor education and awareness initiatives undertaken.</p> <p>Notes:</p> <ol style="list-style-type: none"> <li>Pursuant to Regulation 52(6)(b) of the SEBI (Mutual Funds) (Fourth Amendment) Regulations, 2018, in case of an index fund scheme or exchange traded fund, the total expense ratio of the scheme including the investment and advisory fees shall not exceed 1.00 per cent of the daily net assets.</li> <li>In addition to the expenses indicated above, the scheme will also bear <ol style="list-style-type: none"> <li>The Goods and Services Tax on investment management &amp; advisory fees</li> <li>Expenses not exceeding of 0.30 percent of daily net assets, if the new inflows from such cities (presently from beyond top 30 cities in line with Para 10.1.3 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 as specified by SEBI from time to time are atleast - <ol style="list-style-type: none"> <li>30 per cent of gross new inflows in the scheme, or;</li> <li>15 per cent of the average assets under management (year to date) of the scheme, whichever is higher:</li> </ol> <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</p> </li> </ol> </li> </ol>		

	<p>inflows are redeemed within a period of one year from the date of investment.</p> <p>3. Goods and Services Tax on brokerage and transaction cost paid for execution of trades shall be within the limit prescribed under regulation 52 of the SEBI (Mutual Funds) Regulations, 1996. Any payment towards brokerage and transaction cost, over and above the said 12 bps and 5bps for cash market transactions and derivatives transactions respectively may be charged to the scheme within the maximum limit of Total Expense Ratio (TER) as prescribed under regulation 52 of the SEBI (Mutual Funds) Regulations, 1996.</p> <p>4. All scheme related expenses including commission paid to distributors, by whatever name it may be called and in whatever manner it may be paid, shall necessarily be paid from the scheme only within the regulatory limits and not from the books of AMC, its associate, sponsor, trustees or any other entity through any route in terms of SEBI circulars, subject to the clarifications provided by SEBI to AMFI vide letter dated February 21, 2019 on implementation of SEBI circular dated October 22, 2018 on Total Expense Ratio (TER) and performance disclosure for Mutual Fund.</p> <p>5. AMC shall annually set apart atleast 2 basis point on daily net assets for investor's education and awareness initiatives.</p> <p>6. The investor should refer to the website of the mutual fund for the latest expense ratio of the scheme. These estimates have been made in good faith as per the information available to the Investment Manager based on past experience and are subject to change inter-se. Types of expenses charged shall be as per the SEBI (MF) Regulations.</p> <p>7. Illustration of impact of expense ratio on scheme's returns (simple example)</p> <table border="1" data-bbox="316 479 1520 741"> <thead> <tr> <th>Particulars</th> <th>Regular Plan</th> <th>Direct Plan</th> </tr> </thead> <tbody> <tr> <td>Amount Invested (Rs.)</td> <td>10,000</td> <td>10,000</td> </tr> <tr> <td>Gross Returns –Assumed</td> <td>12%</td> <td>12%</td> </tr> <tr> <td>Closing NAV before Expenses (Rs.)</td> <td>11,200</td> <td>11,200</td> </tr> <tr> <td>Expenses other than Distribution (Rs.)</td> <td>50</td> <td>50</td> </tr> <tr> <td>Distribution Expenses (Rs.)</td> <td>150</td> <td>-</td> </tr> <tr> <td>Total NAV after charging Expenses (Rs.)</td> <td>11,000</td> <td>11,150</td> </tr> <tr> <td>Returns after Expenses (Rs.)</td> <td>1000</td> <td>1150</td> </tr> <tr> <td>Net Returns to the Investor</td> <td>10.00%</td> <td>11.50%</td> </tr> </tbody> </table> <p>Illustration is given to understand the impact of expense ratio on a scheme return and this should not be construed as an indicative return of the scheme. The AMC would update the current expense ratios on the website of the mutual fund at least three working days prior to the effective date of change. Further, the Actual Expense ratio will also be disclosed by the AMC at Mutual Fund's website which can be accessed at link <a href="http://www.shriramamc.in/TER.aspx">www.shriramamc.in/TER.aspx</a>. The maximum limit of recurring expenses that can be charged to the Scheme would be as per Regulation 52 of the SEBI (MF) Regulation, 1996. Investors are requested to read "Section- Annual Scheme Recurring Expenses" in the SID.</p>	Particulars	Regular Plan	Direct Plan	Amount Invested (Rs.)	10,000	10,000	Gross Returns –Assumed	12%	12%	Closing NAV before Expenses (Rs.)	11,200	11,200	Expenses other than Distribution (Rs.)	50	50	Distribution Expenses (Rs.)	150	-	Total NAV after charging Expenses (Rs.)	11,000	11,150	Returns after Expenses (Rs.)	1000	1150	Net Returns to the Investor	10.00%	11.50%
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<b>Tax treatment for the Investors (Unitholders)</b>	Investors are advised to refer to the details in the Statement of Additional Information and also independently refer to his/her tax advisor																											
<b>Daily Net Asset Value (NAV) Publication</b>	<p>The NAV will be calculated by the AMC for each Business Day. The first NAV shall be calculated and declared within 05 business days from the date of allotment. As mandated by SEBI, the NAV shall be disclosed in the following manner:</p> <p>(i) Displayed on the website of AMC (<a href="http://www.shriramamc.in">www.shriramamc.in</a>)</p> <p>(ii) Displayed on the website of Association of Mutual Funds in India (AMFI) (<a href="http://www.amfiindia.com">www.amfiindia.com</a>)</p> <p>(iii) Any other manner as may be mandated by SEBI from time to time.</p> <p>Mutual Fund/ AMC will provide facility of sending latest NAVs to unitholders through SMS, upon receiving specific requests. AMC shall update NAV on the website of the Fund and Association of Mutual Funds in India (AMFI) by 11.00 p.m. every Business Day. In case of any delay in uploading on AMFI website, the reason for such delay will be explained to SEBI and AMFI in writing. If the NAVs are not available before commencement of business hours on the following day due to any reason, Mutual Fund shall issue a press release providing reasons and explaining when the Mutual Fund would be able to publish the NAVs.</p>																											
<b>For Investor Grievances please contact</b>	<ul style="list-style-type: none"> <li><b>Contact details for general service requests</b> Any complaints should be addressed to the Investor Relations Officer who can be contacted at the under mentioned address : Name : Mr. Tanmoy Sengupta Address : Shriram Asset Management Company Ltd., 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059. Telephone No. : (022) 6947 3400 E-mail id : <a href="mailto:info@shriramamc.in">info@shriramamc.in</a></li> <li><b>Contact details for Complaint resolution.</b> Any complaints should be addressed to the Investor Relations Officer who can be contacted at the under mentioned address : Name : Mr. Tanmoy Sengupta Address : Shriram Asset Management Company Ltd., 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059. Telephone No. : (022) 6947 3400 E-mail id : <a href="mailto:info@shriramamc.in">info@shriramamc.in</a> Investors also have the option to approach SEBI, by logging a complaint on SEBI's complaints redressal system (SCORES 2.0) (<a href="https://scores.sebi.gov.in/">https://scores.sebi.gov.in/</a>)</li> </ul>																											
<b>Unitholders' Information</b>	<p>Pursuant to Regulation 36 of SEBI (Mutual Funds) Regulations, 1996 and amendments thereto, read with Para 14.4.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, the investor whose transaction** has been accepted by the AMC/Mutual Fund shall receive the following :</p> <p>(i) On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted by way of email and/or SMS within 5 Business Days from the date of receipt of transaction request will be sent to the Unit holders registered e-mail address and/or mobile number. Account Statement to the Unitholders will be dispatched within 5 working days.</p> <p>(ii) Thereafter, a consolidated account statement (CAS)^ for each calendar month to the Unit holder(s) in whose folio(s) transaction**(s) has/have taken place during the month on or before fifteenth day of the succeeding month (Ref: Para 14.3.3.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023) shall be sent by mail/e-mail. ^Consolidated Account Statement (CAS) shall contain details relating to all the transactions** carried out by the investor across all schemes of all mutual funds during the month and holding at the end of the month including transaction charges paid to the distributor. Further, each CAS issued to the investors shall also provide the total purchase value / cost of investment in each scheme (Para 14.3.3.4 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023) **The word "transaction" shall include purchase, redemption, switch, Payout of Income Distribution cum Capital Withdrawal option, Reinvestment of Income Distribution cum Capital Withdrawal option, systematic investment plan, systematic withdrawal plan, systematic transfer plan and bonus transactions.</p> <p>(iii) For the purpose of sending CAS, common investors across mutual funds shall be identified by their Permanent Account Number (PAN).</p> <p>(iv) In case of a specific request received from the Unit holders, the AMC/Fund will provide the account statement to the investors within 5 Business</p>																											

	<p>Days from the receipt of such request.</p> <p>(v) In the event the account has more than one registered holder, the first named Unit holder shall receive the CAS/account statement.</p> <p>(vi) The CAS shall not be received by the Unit holders for the folio(s) not updated with PAN details. The Unit holders are therefore requested to ensure that the folio(s) are updated with their PAN.</p> <p>Further, the CAS detailing holding across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/e-mail on or before twenty first day of the succeeding month (Ref: Para 14.3.3.3 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023), to all such Unit holders in whose folios no transaction has taken place during that period. The Half yearly consolidated account statement will be sent by email to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical.</p> <p>Further, pursuant to Para 14.3.3.4 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 CAS issued for the half-year (September/ March) shall also provide:</p> <ol style="list-style-type: none"> <li>The amount of actual commission paid by AMCs/Mutual Funds (MFs) to distributors (in absolute terms) during the half- year period against the concerned investor.s total investments in each MF scheme. The term .commission. here refers to all direct monetary payments and other payments made in the form of gifts / rewards, trips, event sponsorships etc. by AMCs/MFs to distributors. Further, a mention may be made in such CAS indicating that the commission disclosed is gross commission and does not exclude costs incurred by distributors such as Goods and Services Tax (wherever applicable, as per existing rates), operating expenses, etc.</li> <li>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.</li> </ol> <p>Such half-yearly CAS shall be issued to all MF investors, excluding those investors who do not have any holdings in MF schemes and where no commission against their investment has been paid to distributors, during the concerned half-year period.</p> <p>The statement of holding of the beneficiary account holder for units held in demat will be sent by the respective DPs periodically. The account statement shall not be construed as a proof of title and is only a computer generated statement indicating the details of transactions under the Scheme and is a non-transferable document. The account statement will be issued in lieu of Unit Certificate.</p> <p>For further details, refer SAI.</p> <p><b>Annual Report</b></p> <p>Pursuant to Para 5.4 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023. The scheme wise annual report shall be hosted on the website of the Mutual Fund/ AMC and on the website of AMFI. The Mutual Fund/ AMC shall display the link prominently on the AMC website and make the physical copies available to the unit holders, at the registered offices at all times.</p> <p>Mutual Fund/ AMC shall e-mail the scheme annual reports or abridged summary thereof to those unit holders, whose email addresses are registered with the Mutual Fund, unless specified otherwise.</p> <p>Mutual Fund/ AMC shall publish an advertisement every year disclosing the hosting of the scheme wise annual report on the AMC website and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter), etc. through which unit holders can submit a request for a physical or electronic copy of the scheme wise annual report or abridged summary thereof. Such advertisement shall be published in the all India edition of at least two daily newspapers, one each in English and Hindi.</p> <p>Mutual Fund/ AMC shall provide a physical copy of the abridged summary of the Annual Report, without charging any cost, on specific request received from a unit holder.</p> <p><b>Portfolio Disclosures</b></p> <p>Pursuant to Para 5.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023: The AMC shall disclose portfolio (along with ISIN) as on the last day of the month / half-year for the scheme on AMC website and on the website of AMFI within 10 days from the close of each month/ half-year respectively in a user-friendly and downloadable spreadsheet format.</p> <p>In case of unit holders whose e-mail addresses are registered, the Mutual Fund/ AMC shall send via email both the monthly and half-yearly statement of scheme portfolio within 10 days from the close of each month/ half-year respectively.</p> <p>Mutual Fund/ AMC shall publish an advertisement every half-year disclosing the hosting of the half-yearly statement of its scheme portfolio on the AMC website and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter) through which a unit holder can submit a request for a physical or electronic copy of the statement of scheme portfolio. Such advertisement shall be published in the all India edition of at least two daily newspapers, one each in English and Hindi.</p> <p><b>Half Yearly Results</b></p> <p>The mutual fund and Asset Management Company shall before the expiry of one month from the close of each half year that is on 31st March and on 30th September, publish its unaudited financial results in one national English daily newspaper and in a regional newspaper published in the language of the region where the Head Office of the mutual fund is situated.</p> <p>These shall also be displayed on the web site of the Fund and that of AMFI.</p> <p><b>Annual Report:</b> Pursuant to Para 5.4 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 The scheme wise annual report shall be hosted on the website of the Mutual Fund/ AMC and on the website of AMFI.</p> <p>The Mutual Fund/ AMC shall display the link prominently on the AMC website and make the physical copies available to the unit holders, at the registered offices at all times. Mutual Fund/ AMC shall e-mail the scheme annual reports or abridged summary thereof to those unit holders, whose email addresses are registered with the Mutual Fund, unless specified otherwise.</p> <p>Mutual Fund/ AMC shall publish an advertisement every year disclosing the hosting of the scheme wise annual report on the AMC website and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter), etc. through which unit holders can submit a request for a physical or electronic copy of the scheme wise annual report or abridged summary thereof. Such advertisement shall be published in the all India edition of at least two daily newspapers, one each in English and Hindi.</p> <p>Mutual Fund/ AMC shall provide a physical copy of the abridged summary of the Annual Report, without charging any cost, on specific request received from a unit holder.</p>
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## GENERAL INFORMATION AND GUIDELINES



### GENERAL INFORMATION

- a. It must be understood clearly that all applicants are deemed to have accepted the terms subject to which these offers are being made and bind themselves to the terms mentioned in the SAI/SID/KIM upon signing the application form and tendering payment.
- b. Please complete the Application Form legibly in black ink or blue ink, in the English language only, in BLOCK CAPITALS. Please strike out with a line across any section that is not applicable.
- c. **Submission of Application Forms** : Application form complete in all respects with the necessary remittances may be submitted at Shriram MF Admin. HO, Shriram MF ISC/ official Points of Acceptance of the Registrar or such other collection centers as may be designated by the AMC. The list of collection centers are given on the website of Shriram Mutual Fund. Applications received by post/courier will be deemed to have been submitted on date of receipt at the designated collection centre.
- d. Investors are advised to retain the acknowledgement slip signed/stamped by the collection centre where they submit the application.
- e. Allotment of Units: Allotment is assured to all applicants provided the application is complete in all respects and is in order. Applications not complete in any respect are liable to be rejected.

### f. GUIDELINES TO HELP YOU COMPLETE THE APPLICATION FORM

#### (1) Distributor details

**Investments through distributors** : As per directions of Securities and Exchange Board of India (SEBI), the distributors, agents or any persons employed or engaged or to be employed or engaged in the sale and/or distribution of mutual fund products are required to have a valid certification from the National Institute of Securities Markets (NISM) by passing the certification examination. Further, no agents / distributors are entitled to sell units of mutual funds unless the intermediary is registered with Association of Mutual Funds in India (AMFI).

**Employee Unique Identification Number (EUIIN)** : SEBI has made it compulsory for every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUIIN obtained by him/her from AMFI in the Application Form. EUIIN, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIIN is correctly filled up in the Application Form. However, if your distributor has not given you any advice pertaining to the investment, the EUIIN box may be left blank. In this case, you are required to provide a duly signed declaration to this effect, as given in the Form.

**Direct Investments** : Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan. In case of valid application received without indicating "Direct Plan" against the Scheme / Plan name and without any Distributor Code mentioned on the form, the application will be processed under "Direct Plan".

- (2) **Email ID/ Email Communication** : Investors desirous of receiving documents such as allotment advice, statement of accounts, periodical reports and other communications in electronic form are required to fillup their email ID. The email ID as declared by the investor will be registered in our records and all future communication will be made to such registered email ID. It may be noted that no physical document will be sent to an investor (unless specifically requested) who has a registered email ID with us.

- (3) **PAN (Permanent Account Number)** : Permanent Account Number is the sole identification number for all investors transacting in the units of Shriram Mutual Fund, submission of attested copy of PAN card is mandatory for all categories of investors (including NRIs, Guardian of a minor). Attestation can be done by distributors / AMC officials etc. However, pursuant to SEBI letter OW/16541/2012 dated July 24, 2012 investment in Mutual Fund schemes (including investments in SIP) upto Rs. 50,000 per year, per investor, across all schemes of the fund shall be exempted from the requirement of PAN. Accordingly, individuals (including who are individuals, NRIs, but not POIs, Minors) and sole proprietary firms who do not possess PAN (HUF and other categories are not eligible for such investments) are exempt from submission of PAN for investments upto Rs. 50,000 in a rolling 12 months period or in a financial year (i.e. April to March). However eligible investors are required to undergo Know Your Customer (KYC) procedure with any of the SEBI registered KYC Registration Authority (KRA). Eligible investor must quote PAN Exempt KYC Reference Number (PEKRN) issued by KRA. Fresh/ Additional Purchase and Systematic Investment Plans will be covered within the limit of Rs. 50,000.

- (4) **Know your Customer (KYC) Policy** : SEBI Pursuant to clause b of Para 16.2.4.4 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 has simplified the KYC registration process and authorised KRA (KYC registration agency) for storing, safeguarding and retrieving the KYC documents. If the investor has successfully completed KYC registration with stock brokers, depository participants, Mutual Funds, portfolio managers, collective investment schemes and venture capital funds on or after January 1, 2012, no fresh KYC application is required to be submitted for investing in this scheme. Further if the investor has already completed KYC registration with CVL for Mutual Fund investments, no fresh KYC application is required to be submitted. In case the investor has not undergone the KYC registration as aforesaid or investors wish to submit updated/additional information/ document they may

submit necessary application for KYC Registration/ updation along with the application form for subscribing the units. The documents required to be submitted along with KYC application form are detailed in the KYC application form itself.

Notwithstanding anything stated herein above the AMC/MF reserves absolute right and discretion to call for any additional information/document as they may require for verifying the KYC of the investor.

**New to Shriram Mutual Fund** : Investors who are registering with Shriram Mutual Fund for the first time but have completed KYC from CVL may have to undergo an in-Person verification and may be required to submit missing/not-available information as appearing in the database provided by KYC Registering Agencies. These details are required to be updated only if the KYC status as per CVL-KRA reflects as "MF-VERIFIED BY CVLMF"

**In-Person Verification** : With effect from January 1, 2012 in person verification is compulsory for obtaining KYC registration for all securities market investment including Mutual fund. In view of the same, investors submitting KYC application form shall undergo in-person verification by the AMC/MF. KYD compiled distributors, employees of Shriram Asset Management Co. Ltd and employees of Registrar and Transfer agent appointed by Shriram mutual Fund are authorized to perform the inperson verification on behalf of Shriram Mutual Fund.

In addition to the above, pursuant to the AMFI Best Practices Guidelines Circular No. 62/2015-16 dated September 18, 2015, effective from November 01, 2015:

- It is mandatory for all new Mutual Fund investors to provide additional KYC details as prescribed in Part II of the Account Opening Form (such as Gross Annual Income Details, Net Worth, Occupation, PEP) as part of account opening; and
- No purchase transactions (whether fresh or additional subscriptions) and switches pertaining to 'KYC-On Hold' cases shall be accepted, unless and until the customer also submits missing information or updated information, for updating the same in KRA-KYC system promptly.

A ready-reckoner of action to be taken by AMC/RTA in respect of new customers/folios/accounts is given in the table below

KYC Status	Action till October 31, 2015	Action from November 01, 2015
KYC-Registered	Accept	Accept
KYC-On Hold	Communicate for remediation	Reject all purchase & switch transactions if the missing information is not provided
KYC-Under Process	Accept	Accept
KYC Rejected	Reject	Reject
KYC-Not Available	Reject	Reject
KYC-Deactivated	Reject	Reject

*Note: SIP and STP mandates already registered till October 31, 2015 may be exempted from the above stipulations*

As regards the cases involving 'Missing/Not Available' KYC information, effective from January 01, 2016 it is mandatory for the existing MF customers to:

- Provide/update additional KYC details as prescribed in Part II of the Account Opening Form (such as Gross Annual Income Details, Net Worth, Occupation, PEP) where such information was not provided to KRAs earlier, to be able to continue to make additional subscription (including switches) in their existing folios
- Provide the missing information, and complete In-Person Verification (IPV) in order to continue to make additional subscription, including switches, in their existing folios to make this process consistent across the Industry.

A ready-reckoner of action to be taken by AMC/RTA in respect of existing folios with KYC status as 'MF-KYC Registered' is given in the table below

KYC Status	Action till December 31, 2015	Action from January 01, 2016
MF-KYC Registered	Make sustained efforts to obtain the requisite Missing/Not Available KYC information and/or complete the IPV requirement, as the case may be and update in KRA records.	Reject ALL Purchase and switch transactions, if the missing KYC information is NOT provided and/or IPV is not completed.

*Note: SIP and STP mandates already registered till December 31, 2015 may be exempted from the above stipulations*

#### Aadhaar based e-KYC process

SEBI vide circular no: CIR/MIRSD/09/2013 dated October 8, 2013, enabled Aadhaar based e-KYC service offered by UIDAI for KYC verification.

Also vide circular No. CIR/MIRSD/29/2016 dated January 22, 2016, SEBI clarified that the usage of Aadhaar card as issued by the UIDAI is voluntary. Moreover, pursuant to SEBI Circular No: SEBI/HO/MIRSD/DOP/CIR/P/2019/123 dated November 05, 2019, entities in the securities market, as may be notified by the Central Government, shall be allowed to undertake Aadhaar Authentication under section 11A of the PMLA. These entities would be registered with UIDAI as KYC user agency ("KUA") and shall allow all the SEBI registered intermediaries / mutual fund distributors to undertake Aadhaar Authentication of their clients for the purpose of KYC through them.

For entering into account based relationship, the client may provide the following information to the intermediary:

- i. Name
- ii. Aadhaar number
- iii. Permanent Account Number (PAN)

For more details on Aadhaar based e-KYC process, please refer the Statement of Additional Information (SAI)

## Central KYC

Pursuant to SEBI circular no: CIR/MIRSD/ 66 /2016 dated July 21, 2016 the registered intermediaries shall upload the KYC data with Central KYC Records Registry (CKYCR), in respect of all individual accounts opened on or after August 1, 2016, wherever KYC is required to be carried out as per the circulars issued by SEBI from time to time and accordingly, shall take steps to prepare their systems for uploading the KYC data.

Further, SEBI circular no. SEBI/HO/MIRSD/DOP/CIR/P/2021/31 dated March 10, 2021 has mandated to upload the KYC records of Legal Entity (other than individuals) accounts as well opened on or after April 01, 2021 on to CKYCR in terms of Rule 9 (1A) of the Prevention of Money Laundering (Maintenance of Records) Rules, 2005. For Legal Entity accounts opened prior to April 1, 2021, the KYC records are required to be uploaded on to CKYCR when the updated KYC information is obtained/received from the client.

### (5) Accounts opened on behalf Minor /Change of status from minor to major/ Change of Guardian :

The minor shall only be the first and the sole holder in an account (folio). There shall not be any joint accounts with minor as the first or joint holder. Name of the Parent or Guardian must be mentioned if the investments are being made on behalf of a minor. Guardian in the folio should either be a natural guardian (i.e. father or mother, as the case may be) or a court appointed legal guardian.

Date of birth of the minor along with photocopy of supporting documents (i.e. Birth certificate, School leaving certificate, Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., Passport, or any other suitable proof evidencing the date of birth of the minor) should be provided while opening the folio. In case of a natural guardian, document evidencing the relationship of the Guardian with the minor, if the same is not available as part of the documents mentioned above should be submitted. In case of court appointed legal guardian, supporting documentary evidence should be provided.

Further, in case of SIP/STP/SWAP registration requests received on/after April 1, 2011, the Mutual Fund/AMC will register SIP/STP/SWAP in the folio held by a minor only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date.

Further process to be complied for investments made in the name of a Minor through a Guardian (Pursuant to para 17.6.1 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 read with SEBI Circular no. SEBI/HO/IMD /POD-II/CIR/P/2023/0069 dated May 12, 2023)

- a. Payment for investment by any mode shall be accepted from the bank account of the minor, parent or legal guardian of the minor, or from a joint account of the minor with parent or legal guardian. For existing folios, the AMC shall insist upon a Change of Pay-out Bank mandate before redemption is processed.

Irrespective of the source of payment for subscription, all redemption proceeds shall be credited only in the verified bank account of the minor i.e. the account the minor may hold with the parent/ legal guardian after completing all KYC formalities.

- b. Upon the minor attaining the status of major, the minor in whose name the investment was made, shall be required to provide all the KYC details, updated bank account details including cancelled original cheque leaf of the new account. No further transactions shall be allowed till the status of the minor is changed to major.

In addition, guidelines/formats prescribed by AMFI vide its Best Practice Circular no. 135/BP/ 86 /2020-21 dated July 16, 2020 need to be complied/ followed w.r.t. Minors' Accounts & Change in status from Minor to Major.

### (6) Mode of Payment

#### a) For Resident investors

Cheque, demand draft shall be drawn in the name of the scheme as detailed below and crossed "Account Payee only".

- a. The Specific Scheme A/c Permanent Account Number (where the investor has a PAN) e.g.: SHRIRAM NIFTY 1D RATE LIQUID ETF A/C XXXXXXX (PAN) OR
- b. The Specific Scheme A/c First Investor Name\* (investors from the state of Sikkim & investors without PAN.)

#### Source of funds

**If paid by cheque :** Identification of third party cheques by the AMC/Mutual Fund/ Registrar & Transfer Agent (R&TA) will be on the basis of matching the name / signature on the investment cheque with the name/ signature of the first named applicant available on the application or in our records for the said folio. If the name of the bank account holder is not pre-printed on the investment cheque or the signature on the said cheque does not match with that of the first named applicant mentioned on the application / available in our records for the said folio, then the investor should submit any one of the following documents at the time of investment :

- (i) A copy of the bank passbook or a statement of bank account having the name and address of the account holder and account number, Investors should also bring the original documents along with the documents mentioned in (a) above to the ISCs/Official Points of Acceptance of Shriram Mutual Fund. The copy of such documents will be verified with the original documents to the satisfaction of the AMC/ Mutual Fund/R&TA. The original documents will be returned across the counter to the investor after due verification.
- (ii) A letter (it should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number) in original from the bank on its letterhead certifying that the investor maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available).

**If funded by pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque etc :** Investors should attach any one of the following supporting documents with the purchase application where subscription for units is vide a pre-funded instrument issued by way of debit to his / her bank account :

- A Certificate (in original) from the issuing banker duly certified by the employee signing the pre-funded instrument with his / her full signature, name, employee code, bank seal and contact number, stating the Account holder's name, the Bank Account Number which has been debited for issue of the instrument (Mandatory) and PAN as per bank records, if available.
- A copy of the acknowledgement from the bank, wherein the instructions to

debit / carry the bank account details and name of the investor as an account holder are available

- A copy of the passbook/bank statement evidencing the debit for issuance of the instrument.

The account number mentioned in the above supporting documents should be the same as one of the registered bank accounts or the bank details mentioned in the application form.

### If paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS, NACH etc :

Investors should attach to the purchase application form, an acknowledged copy of the instruction to the bank also stating the account number debited. The account number mentioned on the transfer instruction copy should be a registered bank account or the first named applicant/ investor should be one of the account holders to the bank account debited for such electronic transfer of funds.

Bank charges for outstation demand drafts will be borne by the AMC and will be limited to the bank charges stipulated by the State Bank of India subject to a maximum limit of Rs.1, 000 per instrument.

Outstation Demand Draft has been defined as a demand draft issued by a bank where there are no ISCs/Points of Acceptance available for Investors. Investors may please further note that in case of any application made through the Demand Draft, no Demand Draft charges will be reimbursed by the AMC in any case. The same will have to be borne by investors.

**Cash :** In accordance with SEBI Circular nos. CIR/IMD/DF/21/2012 dated September 13, 2012 and CIR/IMD/DF/10/2014 dated May 22, 2014; the Fund shall accept applications for subscriptions for subscription with payment mode as 'Cash' ("Cash Investment") at select Investor Service Centres (ISCs) to the extent of Rs. 50,000 per investor, per financial year as follows:

1. Only resident individuals, sole proprietorships and minors (through guardians), who are KYC compliant (with or without PAN), have a bank account and who submit applications in physical mode at select ISCs can avail this facility.
2. Currently, the Fund has made arrangement with HDFC Bank Limited ("the Bank") to collect Cash from the investors of the Fund at designated branches of the Bank. For an updated list of the ISCs / the designated bank branches accepting Cash Investments, investors may contact any of our ISCs or visit the website [www.shriramamc.in](http://www.shriramamc.in)
3. Procedure to undertake Cash Investments :
  - a. Deposit slips for making Cash Investments may be obtained from ISCs which accept Cash Investment applications. The deposit slip must be filled with the scheme name and the amount of cash to be deposited. The deposit slip will be verified by the ISC officials.
  - b. Investors must then deposit the cash along with the verified deposit slip at any of the nearest designated branches of the Bank accepting cash under this facility.
  - c. Acknowledged copy of the deposit slip received from the Bank along with the Scheme application form / transaction slip must be submitted at the same ISC (i.e. from where the deposit slip was obtained) for time stamping. Investors must mention their name and folio number/ application number on the reverse of the Bank-acknowledged deposit slip. The pay-out bank account details are also required to be specified in the application form by the investors.
4. Applicability of NAV for all schemes other than liquid scheme(s) will be based on the time stamping of the application by the relevant ISC. Applicable NAV for Cash Investments in liquid scheme(s) will be based on the time when the cash is received by the liquid scheme from the Bank (and not the time of deposit of cash at the Bank branch) as the Bank merely collects cash and will remit the funds to the scheme(s) usually by next business day only.
5. If the amount of subscription (together with the investments already made through cash in the same financial year) exceeds Rs.20, 000/-, the application will be rejected.
6. Payment of proceeds towards redemptions, IDCW, etc. with respect to Cash Investments shall be made only through the pay-out bank account mentioned in the application form or as registered in the folio (as applicable) as Bank mandate.
7. Acceptance of Cash Investments will be subject to compliance with applicable laws pertaining to prevention of money laundering.
8. Application for Cash Investment not satisfying the above conditions is liable to be rejected.

**Third Party Payments :** The Mutual Fund shall adopt the following procedures to ascertain whether payments are Third Party Payments and investors are therefore required to comply with the requirements specified herein below.

**"Third Party Payment"** means payment made through an instrument issued from a bank account other than that of the first named applicant/ investor mentioned in the application form. In case of payment instruments issued from a joint bank account, the first named applicant/ investor must be one of the joint holders of the bank account from which the payment instrument is issued to consider the payment as a non - Third Party Payment.

1. An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of C, A & B will be treated as valid application.
  2. An Application submitted in joint names of A, B & C along with cheque issued from a bank account in name of A will be treated as valid application.
  3. An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of B, C & Y will be considered as Third Party Payment.
- As referred in above, following are the exceptional cases where third party payments will be accepted subject to submission of requisite documentation/ declarations.



- Payment by Parents/Grand-Parents/Related Persons (*any person investing on behalf of a minor in consideration of natural love and affection or as a gift*) on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000 for each regular purchase or per SIP installment. However this restriction of Rs. 50,000 will not be applicable for payment made by a Guardian whose name is registered in the records of Mutual Fund in that folio (i.e. Father / Mother / Court Appointed Legal Guardian).
  - Payment by Employer on behalf of employee under Systematic Investment Plans or as lump sum / one-time subscription, through Payroll deductions.
  - Custodian on behalf of an FII or a Client.
- b) For Non-Resident Indian (NRI)/PIO/FII investors**
- On Repatriation Basis :** In the case of NRIs including PIOs, payment may be made either by inward remittance through normal banking channels or out of funds held in his 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 shall also be enclosed. FIIs shall pay their subscription either by inward remittance through normal banking channels or out of funds held in Foreign Currency Account or Non-Resident Rupee Account maintained by the FII with a designated branch of an authorized dealer in accordance with the relevant exchange management regulations.
- On non-repatriation basis :** In the case of NRIs/PIOs, payment may be made either by inward remittance through normal banking channels or out of funds held in his 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 shall also be enclosed.
- (7) Default Plan / Option**
- There are no plans under the Scheme.  
The scheme offers only Growth Option.  
The Trustees/ AMC reserves the right to introduce further Plan/ Options as and when deemed fit, subject to the SEBI (MF) Regulations.
- (8) Demat :** Investors have the option to hold units in dematerialized mode and the units are freely transferable. For holding units in dematerialized mode, investors should have a Depository account in their name. If the investor selects the depository mode for receiving units, no separate KYC needs to be complied. The statement of account issued by the depository participant will be sufficient and no separate statement of account indicating crediting of units by the mutual fund is required for proving allotment of units in the name of the unit holder. For redemption, investors will have to submit duly filled up delivery instruction slip to his concerned depository participant and an acknowledgement for the same along with application for redemption is required to be submitted at the POS. Investors have the responsibility in ensuring transfer of units to the designated pool account of the Mutual fund maintained with the registrar for redemption of units. The Scheme wise ISIN is displayed in the website of the mutual Fund.
- (9) Mode of Payment of Redemption/ IDCW Proceeds :** To the extent possible, the AMC will credit the redemption proceeds to the Bank account of the investor directly through direct credit facility/NEFT/RGESS. In order to enable the AMC to credit the funds directly to the Bank account of the investors, the investors are requested to provide all details about their bank account as required in point 5 of the application form. In all other cases, the redemption proceeds will be issued in the form of Cheque or DD in the name of the sole/ first unit holder to the correspondence address registered with us.
- (10) E-services Facility :** The E-services facility includes Shriram Online, E-alerts and E-payments.
- E-alerts :** This facility enables the Unit holder to receive SMS confirmation for purchase, redeem or switch IDCW declaration details and other alerts.
- E-payments :** Apart from above mentioned facilities, the facility of E-payments comprising of mode of payment of Redemption / IDCW Proceeds if any, via Direct Credit / NEFT / ECS is covered under E-services facility.
- (11) Investment Options :** If the direct plan is ticked, irrespective of any ARN code filled/ written in the application form, the application will be treated as direct application. Plans/Options exercised at the time of application may be changed by the investor at a later date by way of a communication to the Registrar of the Scheme. Such changes would be elective from a prospective date.
- (12) Nomination Facility :**
- i. Nomination is mandatory for new folios/accounts opened by individual especially with sole holding. As per para 17.16 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 investors subscribing to mutual fund units on or after October 1, shall have the choice of a. Providing nomination in the format specified in fourth schedule of SEBI (Mutual Funds) Regulations, 1996 (or) b. Opting out of nomination through a signed Declaration form as provided in Annexure - A to this circular. Nomination is not allowed in a folio held on behalf of a minor.
  - ii. The applicant/unit holders can nominate person/persons (upto three) in whom the units held by him shall vest in the event of his death. Where the units are held by more than one person jointly, the joint Unit holders may together nominate a person/persons (upto two) in whom all the rights in the units shall vest in the event of death of all the joint Unit holders. If the units are held jointly, all joint holders will sign the nomination form.
  - iii. The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly. Non individuals including society, trust, body corporate, partnership firm, Karta of Hindu undivided family (HUF), holder of Power of Attorney cannot nominate.
  - iv. A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the Unit holder.
- v. Nomination can also be in favour of the Central Government, State Government, and a local authority, any person designated by virtue of his office or a religious or charitable trust.
  - vi. The Nominee shall not be a Trust, other than a religious or charitable trust, society, body corporate, partnership firm, Karta of HUF or a Power of Attorney holder.
  - vii. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
  - viii. Nomination in respect of the units stands rescinded upon the transfer of units.
  - ix. Transfer of units in favour of a Nominee shall be valid discharge by the AMC against the legal heir.
  - x. The cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination.
  - xi. On cancellation of the nomination, the nomination shall stand rescinded and the AMC shall not be under any obligation to transfer the units in favour of the Nominee. Investors should note that where the Units are transferred in favour of the nominee, the KYC formalities, as applicable, shall have to be completed by the nominee.
  - xii. Every new nomination for a folio/account will overwrite the excising nomination.
- (13) Declaration and Signatures :**
- a) All signatures should be in English or any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public under his/her official seal.
  - b) In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarized copy thereof must be lodged along with the application.
- (14) Transaction Charges**
- In accordance with Para 10.5 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, as amended from time to time SHRIRAM Asset Management Company Limited ("the AMC")/Mutual Fund will deduct Transaction Charges from the purchase/ subscription amount received from the investors investing through a valid ARN Holder i.e. AMFI registered Distributor. Transaction Charge of Rs. 150 (for a time investor across mutual funds) or Rs. 100 (for investor other than time mutual fund investor) per purchase / subscription of Rs. 10,000 and above are deductible from the purchase/ subscription amount and payable to the Distributor. The balance amount shall be invested.  
However the distributors shall have an option to either "Opt-in/Opt-out" from levying transaction charge based on the type of product. Therefore, the "Opt-in/Opt-out" status shall be at distributor level, basis the product selected by the distributor at the Mutual Fund industry level.
- TRANSACTION CHARGES IN CASE OF INVESTMENTS THROUGH SIP :**
- Transaction Charges in case of investments through SIP are deductible only if the total commitment of investment (i.e. amount per SIP installment x No. of installments) amounts to Rs. 10,000 or more. In such cases, Transaction Charges shall be deducted in 3-4 installments. Transaction Charges shall not be deducted :
- (a) where the Distributor of the investor has not opted to receive any Transaction Charges
  - (b) for purchase /subscriptions /total commitment amount in case of SIP of an amount less than Rs. 10000/-
  - (c) for transactions other than purchases / subscriptions relating to new inflows i.e. through Switches / Systematic Transfers / IDCW Transfers/ IDCW Reinvestment, etc.;
  - (d) for purchases / subscriptions made directly with the Fund (i.e. not through any Distributor); and
  - (e) for purchases / subscriptions routed through Stock Exchange(s). First / Sole Applicant / Guardian should indicate whether he is a first time investor across Mutual Funds or an existing investor in the appropriate box provided for this purpose in the application form. SHRIRAM AMC/ Fund will endeavor to identify the investor as " first time " or "existing" based the Permanent Account Number (PAN)/PAN Exempt KYC Reference Number (PEKRN) at the First/ Sole Applicant/ Guardian level. If the PAN/PEKRN details are available, then the First / Sole Applicant / Guardian will be treated as existing investor (i.e. Rs. 100 will be deducted as Transaction Charge) else the declaration in the application form will be considered (i.e. Rs. 150 for first time investors or Rs. 100 for other than first time investors will be deducted as Transaction Charge, as applicable). However, if an investor has not provided any declaration, he will be considered as an "existing" investor.

**CHECKLIST** (Please submit the following documents with your application (where applicable). All documents should be original/true copies certified by a Director/Trustee/ Company Secretary /Authorized signatory / Notary Public/AMC or R&T Officials)

Documents	Individual (RI)	Companies	Societies	Partnership Firm	Investment through POA	Trusts	NRI	FIs	PIO
Copy of the PAN Card	✓	✓	✓	✓	✓	✓	✓	✓	✓
Copy of Aadhaar / Enrollment Letter	✓	✓	✓	✓	✓	✓			
Copy of the KYC acknowledgement	✓	✓	✓	✓	✓	✓	✓	✓	✓
Resolution/Authorization to invest		✓	✓					✓	
List of authorised signatories with specimen signatures		✓	✓	✓		✓		✓	
Trust Deed						✓			
Bye-laws			✓						
Partnership Deed				✓					
Overseas Auditor Certificate and SEBI registration								✓	
Notarised POA					✓				
Proof of Address									✓
PIO Card									✓
Foreign Inward Remittance Certificate								✓	



**5. BANK ACCOUNT DETAILS - MANDATORY (For multiple banks registration please submit the Multiple Bank Registration Form)**

Name of the Bank																	
Branch Address																	
Bank Branch City						State						Pincode					
Account No.											A/C. Type (Please ✓) <input type="checkbox"/> Savings <input type="checkbox"/> NRE <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> FCNR						
9 digit MICR Code						11 digit IFSC Code											(Mandatory for credit via NEFT/RTGS)
Please attach a cancelled cheque OR a clear photo copy of a cheque																	

**6. UNITS IN DEMAT MODE (Please ✓) ■ NSDL ■ CDSL**

DP ID																Beneficiary Account No./Client ID															
DP Name																															
Note : Please attach the depository transaction statement or DP master data indicating the DP account number of the applicant. Please ensure that sequence of names as mention in the Application Form match with that of the account held with the DP.																															

**7. POWER OF ATTORNEY (POA)**

POA Name																														
PAN						KYC <input type="checkbox"/> Yes <input type="checkbox"/> No - if investment is being made by a constitutional Attorney, please submit the notarized copy of the POA																								

**8. INVESTMENT DETAILS AND PAYMENT DETAILS-Cheque/DD/RTGS/NEFT/Transfer (outstation cheques will be rejected) Please ✓ wherever applicable.**

**Scheme Name : SHRIRAM NIFTY 1D RATE LIQUID ETF**  
**Plan :**  Regular \*  Direct **Option :**  Growth  
 \* Default Plan

Investment Amount (Rs.)	DD Charges if any (Rs.)	Net Amount (in words)
Mode of Payment (Please ✓) <input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> Funds Transfer <input type="checkbox"/> RTGS/NEFT Rs. (amt. in Rs.) _____ (in words) _____		
Drawn on Bank		
Branch & City	Account No.	
Cheque / DD No.	Date	IFSC Code
	DD MM YY YY	

\*A/c Type -  S/B  NRE\*  Current  NRO  FCNR\* | \*Kindly provide photocopy of the payment Instrument or Foreign Inward Remittance Certificate (FIRC) evidencing source of funds  
**Cheque/D.D. to be crossed "Account Payee" only and should be drawn payable to :-"SHRIRAM NIFTY 1D RATE LIQUID ETF A/C xxxxxx" (Investor PAN) or "SHRIRAM NIFTY 1D RATE LIQUID ETF A/C XXXXXX" (Name of the Firstholder)**

**9. KYC DETAILS (Mandatory)**

**Occupation Please (✓)**

Sole/First Applicant	<input type="checkbox"/> Private sector service	<input type="checkbox"/> Public sector service	<input type="checkbox"/> Government Services	<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"/> Other (Please Specify)			
Second Applicant	<input type="checkbox"/> Private sector service	<input type="checkbox"/> Public sector service	<input type="checkbox"/> Government Services	<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"/> Other (Please Specify)			
Third Applicant	<input type="checkbox"/> Private sector service	<input type="checkbox"/> Public sector service	<input type="checkbox"/> Government Services	<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"/> Other (Please Specify)			

**Gross Annual Income [Please tick (✓)]**

Sole/First Applicant	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> >25 Lacs - 1Crore	<input type="checkbox"/> >1 Crore OR Net Worth _____
	OR Net worth (Mandatory for Non - Individuals) _____ as on _____ Not order than 1 year					
Second Applicant	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> >25 Lacs - 1Crore	<input type="checkbox"/> >1 Crore OR Net Worth _____
Third Applicant	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> >25 Lacs - 1Crore	<input type="checkbox"/> >1 Crore OR Net Worth _____

**Others [Please tick (✓)]**

Sole/First Applicant	<b>For Individuals</b> [Please tick (✓)] <input type="checkbox"/> I am Politically Exposed Person (PEP)* <input type="checkbox"/> I am Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Not applicable
	<b>For Non Individuals</b> [Please tick (✓)] (Please attach mandatory Ultimate Beneficial Ownship (UBO) declaration form: (i) Foreign Exchange/Money changer services - <input type="checkbox"/> Yes <input type="checkbox"/> No (ii) Gaming/Gambling/Lottery/Casino Services - <input type="checkbox"/> Yes <input type="checkbox"/> No (iii) Money Lending/Pawing - <input type="checkbox"/> Yes <input type="checkbox"/> No
Second Applicant	<input type="checkbox"/> Politically Exposed Person (PEP)* <input type="checkbox"/> Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Not applicable
Third Applicant	<input type="checkbox"/> Politically Exposed Person (PEP)* <input type="checkbox"/> Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Not applicable

**Scheme Name :** SHRIRAM NIFTY 1D RATE LIQUID ETF  
**Plan :**  Regular  Direct (Please ✓ any one). **Option :** \_\_\_\_\_ **Sub Option :** \_\_\_\_\_  
**Cheque / DD No.** \_\_\_\_\_ **Date :** \_\_\_\_\_ **Amount Rs. :** \_\_\_\_\_  
**Bank and Branch :** \_\_\_\_\_

**REGISTRAR & TRANSFER AGENTS**  
 Computer Age Management Services Ltd., (SEBI Registration No. : INR00002813)  
 New No. 10, Old No. 178, M.G.R. Salai, Nungambakkam, Chennai - 600 034, Email eng\_sh@camsonline.com, Website : www.camsonline.com

**10. FATCA AND CRS DETAILS FOR INDIVIDUALS (Including Sole Proprietor) (Mandatory)**

Non Individual Investors should mandatorily fill separate **FATCA Form** (The below information is required for all applications 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 (Please Specify) _____
Second Applicant			<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others (Please Specify) _____
Third Applicant			<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others (Please Specify) _____

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)	Country of Citizenship / Nationality
First Applicant/Guardian				Reason : A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
Second Applicant				Reason : A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
Third Applicant				Reason : A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>

Reason A : The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents.

Reason B : No TIN required (Select this reason only if the authorities of the respective country of tax residence do not require the TIN to be collected)

Reason C : Others, please state the reason thereof: \_\_\_\_\_

**Address Type of Sole/1st Holder :**

Residential  Registered Office  Business

**Address Type of 2nd Holder :**

Residential  Registered Office  Business

**Address Type of 3rd Holder :**

Residential  Registered Office  Business

FATCA Form for Non Individual is available on the website of AMC i.e. www.shriramamc.in or at the CAMS Investor Service

**11. NOMINATION DETAILS [Minor / HUF / POA Holder / Non Individuals Cannot Nominate]**

I/We \_\_\_\_\_ do hereby nominate the undermentioned Nominee(s) to receive the units to my/our credit in the folio no. in the event of my/our death. I/We also understand that all payments made to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be a valid discharge by the AMC / Mutual Fund / Trustees.

No.	Nominee(s) Name	PAN	Relationship	% of Share*	Date of Birth	Nominee(s) Signature
1					D D M M Y Y Y Y	
2					D D M M Y Y Y Y	
3					D D M M Y Y Y Y	
No.	Name of the Guardian (In case of Nominee is Minor)					Guardian(s) Signature
1						
2						
3						

\* If the percentage of share is not mentioned then the claim will be settled equally amongst all the indicated nominee(s)

I/We do not wish to nominate anybody on my/our behalf.

Signature of the declarant

**12. DECLARATION**

I/We have read, understand and hereby agree to abide by the Scheme information Document/ Key information Memorandum of the Scheme(s), Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) under FATCA & CRS provision of the Central Board of Director Taxes notified Rules 114 F to 114 H, as part of the Incometax Rules, 1962. I/We hereby apply to the Shriram Mutual Fund for allotment of units of the Scheme, as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I / We hereby confirm and certify that the source of these funds is not directly / indirectly a result of "proceeds of crime" as defined in "The Prevention of Money Laundering Act, 2002" and I/we undertake to provide all necessary proof/ documentation, if any, required to substantiate the facts of this undertaking. I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I / We authorize the Fund to disclose details of my/our account and all my/our transactions to the intermediary whose stamp appears on the application form. I/We also authorize the Fund to disclose details as necessary, to the Fund's and investor's bankers for the purpose of effecting payments to me/ us. Applicable to NRIs only : I/We confirm that I am/we are Non-Resident of Indian Nationality/Origin and I/we hereby confirm that the funds for subscription have been remitted from abroad through approved banking channels or from funds in my/our Non-Resident External / Ordinary Account/FCNR/NRSR Account.

Investment in the scheme is made by me / us on :  Repatriation basis  Non Repatriation basis.

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.

Signature

First / Sole Applicant / Guardian	Second Applicant	Third Applicant
-----------------------------------	------------------	-----------------

**Form for Fresh Nomination / Change of Existing Nomination/ Cancellation of Nomination**

Applicable for Individual Unitholders only - whether holding Units Singly or Jointly with other holders  
Please read the instructions carefully before filling up this form

Name of 1st Holder \_\_\_\_\_

Name of 2nd Holder \_\_\_\_\_

Name of 3rd Holder \_\_\_\_\_

I/We, the above named Unitholders of \_\_\_\_\_ Mutual Fund, do hereby

Nominate the person(s) more particularly described hereunder to receive the Units held my/our Folio/s listed below in the event of my / our death and/or

Cancel the nomination(s) made by me / us previously in respect of the units held by me/ us in the Folio/s listed below

(tick whichever is applicable).

Scheme Name	Folio No.
1.	
2.	
3.	
4.	

Name of the 1st Nominee	% of Allocation
PAN of the Nominee/Guardian*	Date of Birth of Nominee* DD/MM/YYYY
Name of the Guardian *	
Guardian's Relationship with Nominee <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	
Proof of relationship ? Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others	
Address	
City	State PIN

Name of the 2nd Nominee	% of Allocation
PAN of the Nominee/Guardian*	Date of Birth of Nominee* DD/MM/YYYY
Name of the Guardian *	
Guardian's Relationship with Nominee <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	
Proof of relationship ? Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others	
Address	
City	State PIN

Name of the 3rd Nominee	% of Allocation
PAN of the Nominee/Guardian*	Date of Birth of Nominee* DD/MM/YYYY
Name of the Guardian *	
Guardian's Relationship with Nominee <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Legal Guardian	
Proof of relationship ? Birth Certificate <input type="checkbox"/> School Leaving Certificate <input type="checkbox"/> Passport <input type="checkbox"/> Others	
Address	
City	State PIN

*\*applicable in case the Nominee is a Minor. (Also, please attach a copy of the minor's birth certificate)*

I/We **DO NOT** wish to make a nomination. (Please tick ✓ if the unitholder does not wish to nominate anyone)

I/We have read and understood the instructions on nomination given below/overleaf and I/We hereby undertake to abide by the same. The instructions contained herein supercedes all previous nominations made by me/us in respect of the folio(s) mentioned above.

Signature of the 1st unitholder	Signature of the 2nd unitholder	Signature of the 3rd unitholder
---------------------------------	---------------------------------	---------------------------------

## Instructions

1. The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly.
2. Non-individuals including a Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu undivided family, a Power of Attorney holder and/or Guardian of Minor unitholder cannot nominate.
3. Nomination is not allowed in a folio of a Minor unitholder.
4. If the units are held jointly (i.e., in case of multiple unitholders in the folio), all joint holders need to sign the Nomination Form (even if the mode of holding/operation is on "Anyone or Survivor" basis).
5. A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee needs to be provided.
6. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
7. The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder.
8. A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
9. Multiple Nominees: Nomination can be made in favour of multiple nominees, subject to a maximum of three nominees. In case of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals, adding upto a total of 100%. If the total percentage of allocation amongst multiple nominees does not add up to 100%, the nomination request shall be treated as invalid and rejected. If the percentage of allocation/ share for each of the nominee is not mentioned, the allocation /claim settlement shall be made equally amongst all the nominees.
10. Every new nomination for a folio/account shall overwrite the existing nomination, if any.
11. Nomination made by a unit holder shall be applicable for units held in all the schemes under the respective folio / account.
12. Nomination shall stand rescinded upon the transfer of units.
13. Death of Nominee/s: In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, the said nominee's share will be distributed equally amongst the surviving nominees.
14. Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/ Mutual Fund / Trustees against the legal heir(s).
15. Cancellation of Nomination: Request for cancellation of Nomination made can be made only by the unitholders. The nomination shall stand rescinded on cancellation of the nomination and the AMC shall not be under any obligation to transfer / transmit the units in favour of the Nominee.
16. Unitholders who do not wish to nominate are required to confirm the same by indicating their choice in the space provided in the nomination form.
17. The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC.
18. In respect of folios/accounts where the Nomination has been registered, the AMC will not entertain any request for transmission / claim settlement from any person other than the registered nominee(s), unless so directed by any competent court.

## Form for Opting out of Nomination

[To be signed by ALL holders, irrespective of Mode of Holding or Mode of Operation.]

Date DD - MM - YYYY

To

\_\_\_\_\_ Mutual Fund

### Declaration of Opting out of Nomination

I / We, the undersigned applicant(s)/unitholder(s) hereby confirm that I / we do not wish to appoint any nominee(s) in respect of the mutual fund application(s)/ units held in my / our mutual fund folio(s) mentioned hereinbelow :

Application Number(s)/ Folio Number(s) /		

I/We understand the 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 folio, 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 Mutual 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.

	Name of the Applicant/ Unitholder	Signature
<b>Sole / 1st Holder</b>		
<b>2nd Holder</b>		
<b>3rd Holder</b>		





## GENERAL INSTRUCTIONS FOR INVESTORS

**ASBA is an application containing an authorization given by the Investor to block the application/money in his specified bank account towards the subscription of Units offered during the NFO of the Schemes. On intimation of allotment by CAMS (R&T Agent) to the banker the investors account shall be debited to the extent of the amount due thereon. On allotment, units will be credited to the Investor's demat account as specified in the ASBA application form.**

**Background :** In its continuing endeavour to make the existing public issue process more efficient SEBI introduced a supplementary process of applying in public issues, viz: the "Applications Supported by Blocked Amount (ASBA)" process. Accordingly, Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009, as amended have been amended for ASBA process. The salient features of circular no. SEBI/CFD/DIL/ASBA/1/2009/30/12 dated December 30, 2009 available on SEBI website for "Additional mode of payment through Applications Supported by Blocked Amount (hereinafter referred to as "ASBA") are mentioned below for understanding the ASBA process :

1. **SCSB means Self Certified Syndicate Bank registered with the SEBI, which offers the facility of ASBA.** The current list of SCSBs as available on SEBI website is as follows :

1. Ahmedabad Mercantile Co-Op Bank Ltd.
2. AU Small Finance Bank Limited
3. Axis Bank Ltd.
4. Bandhan Bank
5. Bank of Baroda
6. Bank of India
7. Bank of Maharashtra
8. Barclays Bank PLC
9. BNP Paribas
10. Canara Bank
11. Catholic Syrian Bank Limited
12. Central Bank of India
13. CITI Bank NA
14. City Union Bank Ltd.
15. DBS Bank Ltd.
16. DCB Bank Ltd.
17. Deutsche Bank
18. Dhanlaxmi Bank Limited
19. Equitas Small Finance Bank
20. GP Parsik Sahakari Bank Limited
21. HDFC Bank Ltd.
22. HSBC Ltd.
23. ICICI Bank Ltd.
24. IDBI Bank Ltd.
25. IDFC FIRST Bank
26. Indian Bank
27. Indian Overseas Bank
28. IndusInd Bank
29. J P Morgan Chase Bank, N.A.
30. Jammu & Kashmir Bank
31. Janata Sahakari Bank Ltd.
32. Karnataka Bank Ltd.
33. Karur Vysya Bank Ltd.
34. Kotak Mahindra Bank Ltd.
35. Mehsana Urban Co-operative Bank Limited
36. Nutan Nagarik Sahakari Bank Ltd.
37. Punjab & Sind Bank
38. Punjab National Bank
39. Rajkot Nagarik Sahakari Bank Ltd.
40. RBL Bank Limited
41. South Indian Bank
42. Standard Chartered Bank
43. State Bank of Bikaner and Jaipur
44. State Bank of Hyderabad
45. State Bank of India
46. State Bank of Mysore
47. State Bank of Patiala
48. State Bank of Travencore
49. SVC Co-operative Bank Limited
50. Syndicate Bank
51. Tamilnad Mercantile Bank Ltd.
52. The Ahmedabad Mercantile Co-Op. Bank Ltd.
53. The Federal Bank
54. The Jammu & Kashmir Bank Limited.
55. The Kalupur Commercial Co-operative Bank Ltd.
56. The Lakshmi Vilas Bank Ltd
57. The Saraswat Co-Opearative Bank Ltd.
58. The Surat Peoples Coop Bank Ltd.
59. TJSB Sahakari Bank Ltd
60. UCO Bank
61. Union Bank of India
62. YES Bank Ltd.

For the complete list of controlling/designated branches of above mentioned SCSBs, please refer to websites - [www.sebi.gov.in](http://www.sebi.gov.in), [www.bseindia.com](http://www.bseindia.com) and [www.nseindia.com](http://www.nseindia.com)

2. Eligible investors for ASBA maintaining their account in any of the above SCSBs may use ASBA facility subject to fulfilling all the terms and conditions stipulated in this regard. 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".

3. **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.

4. **Mechanism for Redressal of Investor Grievances under ASBA Facility** - All grievances relating to the ASBA facility may be addressed to the respective SCSBs, giving full details such as name, address of the applicant, number of Units applied for, counterfoil or the application reference given by the SCSBs, DBs or CBs, amount paid on application and the Designated Branch or the collection centre of the SCSB where the Application Form was submitted by the ASBA Investor.

### 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) DPID (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

<p><b>For more information visit us at</b> <b><a href="http://www.shriramamc.in">www.shriramamc.in</a></b></p>	<p><b>Shriram Asset Management Co. Ltd.</b> <i>Registered Office :</i> 217, 2nd Floor, Swastik Chambers, Near Junction of S.T. &amp; C.S.T. Road, Chembur, Mumbai - 400 071, India</p> <p><i>Admin. Head Office :</i> 511-512, Meadows, Sahar Plaza, J. B. Nagar Andheri (East), Mumbai - 400 059 Phone: (022) 6947 3400</p>
<p><b>E-mail us at <a href="mailto:info@shriramamc.in">info@shriramamc.in</a></b></p>	

# Third Party Payment Declaration Form



Third Party Payment Declaration Form should be completed in English and in BLOCK LETTERS only.  
(Please read the Third Party Payment Rules and Instructions carefully before completing this Form)

Declaration Form No. \_\_\_\_\_

### FOR OFFICE USE ONLY

Date of Receipt	Folio No.	Branch Trans. No.

### 1. BENEFICIAL INVESTOR INFORMATION (Refer Instruction No. 2)

Folio No. (For existing investor)			Application No.	
NAME OF FIRST/SOLE APPLICANT (BENEFICIAL INVESTOR)				
Mr. Ms. M/s.				

### 2. THIRD PARTY INFORMATION (Refer Instruction No. 3)

NAME OF THIRD PARTY (PERSON MAKING THE PAYMENT)											
Mr. Ms. M/s.											
Nationality		PAN#		KYC** (Please tick (✓) <input type="checkbox"/> Attached (Mandatory for any amount))							
#Mandatory for any amount. Please attach PAN Proof. Refer instruction No. 6. ** Refer instruction No. 8.											
NAME OF CONTACT PERSON & DESIGNATION (in case of non-Individual Third Party)											
Mr./Ms.											
Designation											
MAILING ADDRESS (P.O. Box Address may not be sufficient)											
CITY		STATE		PIN CODE							
CONTACT DETAILS											
Tel. Off.		Tel. Resi.		Mobile							
Fax		E-mail									
RELATIONSHIP OF THIRD PARTY WITH THE BENEFICIAL INVESTOR (Refer Instruction No. 3) (Please tick (✓) as applicable)											
Status of the Beneficial Investor	<input type="checkbox"/> Minor <input type="checkbox"/> Father/Mother/Court appointed Legal Guardian (Please attach proof of relationship, if not already submitted) <input type="checkbox"/> Grand Parent <input type="checkbox"/> Related Person (Please specify relationship) _____ (Maximum investment - Rs. 50,000/- per transaction)	<input type="checkbox"/> FII <input type="checkbox"/> Client Custodian - SEBI Registration No. of Custodian _____ Registration Valid Till <table border="1" style="display: inline-table; text-align: center;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y	<input type="checkbox"/> Employee(s) Employer
D	D	M	M	Y	Y	Y	Y				
Declaration by Third Party	I/We declare that the payment made on behalf of minor is in consideration of natural love and affection or as a gift.	I/We declare that the payment is made on behalf of FII/ Client and the source of this payment is from funds provided to us by FII/Client.	I/We declare that the payment is made on behalf of employee(s) under Systematic Investment Plans or as lump sum/one-time subscription, through Payroll Deductions.								

### 3. THIRD PARTY PAYMENT DETAILS (Refer Instruction No. 4)

Mode of Payment [Please tick (✓)]	Mandatory Enclosure(s)*
Cheque <input type="checkbox"/>	In case the account number and account holder name of the third party is not pre-printed on the cheque then a copy of the bank passbook / statement of bank account or letter from the bank certifying that the third party maintains a bank account.
Pay Order <input type="checkbox"/>	Certificate from the Issuing Banker stating the Bank Account Holder's Name and Bank Account Number debited for issue of the instrument or Copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the third party as an account holder are available or Copy of the passbook/bank statement evidencing the debit for issuance of the instrument.
Demand Draft <input type="checkbox"/>	
Banker's Cheque <input type="checkbox"/>	
RTGS <input type="checkbox"/>	Copy of the Instruction to the Bank stating the Bank Account Number which has been debited.
NEFT <input type="checkbox"/>	
Fund Transfer <input type="checkbox"/>	

\* SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited ("SHRIRAM AMC") reserves the right to seek information and /or obtain such other additional documents/information from the Third Party for establishing the identity of the Third Party.

	in figures (Rs.)		in words		
Cheque/DD/PO/UTR No.		Cheque/DD/PO/RTGS Date			
			DD	MM	YYYY
Pay-in Bank A/c No.					
Name of the Bank					
Branch		Bank City			
Account Type [Please tick (✓)]	<input type="checkbox"/> SAVINGS	<input type="checkbox"/> CURRENT	<input type="checkbox"/> NRE	<input type="checkbox"/> NRO	<input type="checkbox"/> FCNR
	<input type="checkbox"/> OTHERS _____ (please specify)				
# including Demand Draft charges, if any.					

**4. DECLARATIONS & SIGNATURE/S (Refer Instruction No. 5)**

**THIRD PARTY DECLARATION**

I/We confirm having read and understood the Third Party Payment rules, as given below and hereby agree to be bound by the same.  
 I/We declare that the information declared herein is true and correct, which SHRIRAM Mutual Fund is entitled to verify directly or indirectly. I agree to furnish such further information as SHRIRAM Mutual Fund may require from me/us. I/We agree that, if any such declarations made by me/us are found to be incorrect or incomplete, SHRIRAM Mutual Fund/SHRIRAM AMC is not bound to pay any interest or compensation of whatsoever nature on the said payment received from me/us and shall have absolute discretion to reject / not process the Application Form received from the Beneficial Investor(s) and refund the subscription monies.  
 I/We hereby declare that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We will assume personal liability for any claim, loss and/ or damage of whatsoever nature that SHRIRAM Mutual Fund/SHRIRAM AMC may suffer as a result of accepting the aforesaid payment from me/us towards processing of the transaction in favour of the beneficial investor(s) as detailed in the Application Form.

**Applicable to NRIs/OCIs only :**

I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my / our Non-Resident External / Ordinary Account /FCNR Account.

Please (✓)  Yes  No

If yes, (✓)  Repatriation basis

Non-repatriation basis

DD	MM	YYYY

Signature of the Third Party

**BENEFICIAL INVESTOR(S) DECLARATION**

I/We certify that the information declared herein by the Third Party is true and correct.  
 I/We acknowledge that SHRIRAM Mutual Fund reserves the right in its sole discretion to reject/ not process the Application Form and refund the payment received from the aforesaid Third Party and the declaration made by the Third Party will apply solely to my/our transaction as the beneficial investor(s) detailed in the Application Form. SHRIRAM Mutual Fund/ SHRIRAM AMC will not be liable for any damages or losses or any claims of whatsoever nature arising out of any delay or failure to process this transaction due to occurrences beyond the control of SHRIRAM Mutual Fund/SHRIRAM AMC.

**Applicable to Guardian receiving funds on behalf of Minor only :**

I/We confirm that I/We are the guardian of the Minor registered in folio and have no objection to the funds received towards Subscription of Units in this Scheme on behalf of the minor.

DD	MM	YYYY

SIGNATURE/S	First / Sole Applicant / Guardian
	Second Applicant
	Third Applicant

**THIRD PARTY PAYMENT RULES**

1. In order to enhance compliance with Know your Customer (KYC) norms under the Prevention of Money Laundering Act, 2002 (PMLA) and to mitigate the risks associated with acceptance of third party payments, Association of Mutual Funds of India (AMFI) issued best practice guidelines on "risk mitigation process against third party instruments and other payment modes for mutual fund subscriptions". AMFI has issued the said best practice guidelines requiring mutual funds/asset management companies to ensure that Third-Party payments are not used for mutual fund subscriptions
- 2a. The following words and expressions shall have the meaning specified herein :
  - (a) "Beneficial Investor" is the first named applicant/investor in whose name the application for subscription of Units is applied for with the Mutual Fund.
  - (b) "Third Party" means any person making payment towards subscription of Units in the name of the Beneficial Investor.
  - (c) "Third Party payment" is referred to as a payment made through instruments issued from a bank account other than that of the first named applicant/ investor mentioned in the application form.

**Illustrations**

Illustration 1 : An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of B, C & Y. This will be considered as Third Party payment.

Illustration 2 : An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of C, A & B. This will not be considered as Third Party payment.

Illustration 3 : An Application submitted in joint names of A, B & C along with cheque issued from a bank account in name of A. This will not be considered as Third Party payment.
- 2b. SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited ('SHRIRAM AMC') will not accept subscriptions with Third Party payments except in the following exceptional cases, which is subject to submission of requisite documentation/ declarations :
  - (i) Payment by Parents/Grand-Parents/Related Persons\* on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- for each regular Purchase or per SIP installment. However, this restriction of Rs. 50,000/- will not be applicable for payment made by a Guardian whose name is registered in the records of Mutual Fund in that folio (i.e. father, mother or court appointed Legal Guardian).
  - (ii) Payment by Employer on behalf of employee under Systematic Investment Plans or Lump sum/ one-time subscription, through payroll deductions out of expense reimbursements.
  - (iii) Custodian on behalf of an FII or a Client.

\* 'Related Person' means any person investing on behalf of a minor in consideration of natural love and affection or as a gift.
- 2c. Applications submitted through the above mentioned 'exceptional cases' are required to comply with the following, without which applications for subscriptions for units will be rejected / not processed / refunded.
  - (i) Mandatory KYC for all investors (guardian in case of minor) and the person making the payment i.e. third party.
  - (ii) Submission of a 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.
- 2d. Investor(s) are requested to note that any application for subscription of Units of the Scheme(s) of SHRIRAM Mutual Fund accompanied with Third Party payment other than the above mentioned exceptional cases as described in Rule (2b) above is liable for rejection without any recourse to Third Party or the applicant investor(s).

The above mentioned Third Party Payment Rules are subject to change from time to time. Please contact any of the Investor Service Centres of SHRIRAM AMC or visit our website [www.shriramamc.in](http://www.shriramamc.in) for any further information or updates on the same.

## INSTRUCTIONS FOR THIRD PARTY PAYMENT DECLARATION FORM

### 1. GENERAL INSTRUCTIONS

Please read the terms of the Key Information Memorandum, the Scheme Information Document (SID) and Statement of Additional Information (SAI) carefully before filling the Third Party Payment Declaration Form (hereinafter referred to as 'Declaration Form').

The Declaration Form should be completed in ENGLISH and in BLOCK LETTERS only. Please tick in the appropriate box for relevant declarations wherever applicable. Please do not overwrite. Any correction / changes (if any) made in the Declaration Form, shall be authenticated by canceling and re-writing the correct details and counter signature of the Third Party and the Beneficial Investor(s).

Applications along with the Declaration Form completed in all respects, must be submitted at the Official Points of Acceptance of SHRIRAM Mutual Fund.

In case the Declaration Form does not comply with the above requirements, SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited (SHRIRAMAMC) retains the sole and absolute discretion to reject / not process such Declaration Form and where required, refund the subscription money to the account from which such money was remitted and shall not be liable for any such rejection.

### 2. BENEFICIAL INVESTOR INFORMATION

The Third Party should provide the Folio Number of the Beneficial Investor already having an account with SHRIRAM Mutual Fund. In case the Beneficial Investor does not have a Folio Number, the Third Party should mention the Application Number as stated in the Application Form. Name must be written in full.

### 3. THIRD PARTY INFORMATION

"Third Party" includes the Parent, Grand Parent, Related Person, Custodian of FII/Client, or Employer, making payment towards subscription of Units in the name of the Beneficial Investor(s).

Full Name and relationship of Third Party with the Beneficial Investor must be provided.

The Relationship declared by the Third Party will suggest that the payment made on behalf of Beneficial Investor(s) is :

- On behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (which includes each regular purchase or per SIP installment) made by Parents/Grand Parents/ Related Persons. However this restriction of Rs. 50,000/- will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio (i.e. father or mother or court appointed legal guardian).
- or
- On behalf of employee under Systematic Investment Plans or as lump sum/onetime subscription, through Payroll deductions made by employer; or
- On behalf of an FII or a Client made by the Custodian.

Mailing address and contact details of Third Party must be written in full.

### 4. THIRD PARTY PAYMENT DETAILS

Third Party must provide in the Declaration Form the details of the Pay-in Bank Account i.e. account from which subscription payment is made in the name of the Beneficial Investor(s).

The Declaration Form with incomplete payment details shall be rejected. The following document(s) is/are required to be submitted by Third Party as per the mode of payment selected :

#### (i) Source of funds - if paid by cheque

In case the account number and account holder name of the third party is not preprinted on the cheque, then the third party should provide any one of the following documents :

- a copy# of the bank passbook or a statement of bank account having the name and address of the account holder and account number;
- a letter (in original) from the bank on its letterhead certifying that the third party maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available). The said letter should be certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number.

# the original documents along with the documents mentioned above should be submitted to the ISCs / Official Points of Acceptance of SHRIRAM Mutual Fund.

The copy of such documents will be verified with the original documents to the satisfaction of the SHRIRAM AMC/ SHRIRAM Mutual Fund / Registrar and Transfer Agent. The original documents will be returned across the counter after due verification.

#### (ii) Source of funds - if funded by pre-funded investments such as Pay Order, Demand Draft, Banker's cheque etc.

The Third Party should attach any one of the following supporting documents with the purchase application where subscription for units is vide a pre-funded instrument issued by way of debit to his / her bank account: (i) a Certificate (in original) from the issuing banker duly certified by the employee signing the pre-funded instrument with his / her full signature, name, employee code, bank seal and contact number, stating the Account holder's name, the Bank Account Number which has been debited for issue of the instrument (Mandatory) and PAN as per bank records, if available (ii) a copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and

name of the third party as an account holder are available (iii) a copy of the passbook/bank statement evidencing the debit for issuance of the instrument.

The account number mentioned in the above supporting documents should be the same as the bank details mentioned in the application form.

#### (iii) Source of funds - if paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS, etc.

Acknowledged copy of the instruction to the bank stating the account number debited.

#### (iv) Source of funds - if paid by a pre-funded instrument issued by the Bank against Cash

The AMC/Mutual Fund/R&TA will not accept any purchase applications from investors if accompanied by a pre-funded instrument issued by a bank against cash for investments of Rs. 50,000 or more. This also should be accompanied by a Certificate (in original) obtained from the bank giving name, address, Bank account number and PAN (if available) of the person who has requested for the payment instrument. The said Certificate should be duly certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number. The AMC/Mutual Fund/R&TA will check that the name mentioned in the Certificate matches with the first named investor.

The account number mentioned in the Certificate should be the same as / one of the registered bank account or the bank details mentioned in the application form.

### 5. SIGNATURE(S)

Signature(s) should be in English or in any Indian Language. Declarations on behalf of minors should be signed by their Guardian.

### 6. PERMANENT ACCOUNT NUMBER

It is mandatory for the Third Party to mention the permanent account number (PAN) irrespective of the amount of Purchase\*. In order to verify that the PAN of Third Party has been duly and correctly quoted therein, the Third Party shall attach along with the Declaration Form, a photocopy of the PAN card duly self-certified.

\*includes fresh/additional purchase, Systematic Investment Plan.

Declaration Forms not complying with the above requirement will not be accepted/ processed.

For further details, please refer Section 'Permanent Account Number' under the Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

### 7. PREVENTION OF MONEY LAUNDERING

SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 and other circulars issued from time to time, mandated that all intermediaries including Mutual Funds should formulate and implement a proper policy framework as per the guidelines on anti-money laundering measures and also to adopt a Know Your Customer (KYC) policy.

The Third Party should ensure that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act (PMLA), Prevention of Corruption Act and / or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the Third Party and with a view to monitor transactions for the prevention of money laundering, SHRIRAM AMC/ SHRIRAM Mutual Fund reserves the right to seek information, record investor's/Third party's telephonic calls and/or obtain and retain documentation for establishing the identity of the third party, their beneficial ownership, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

SHRIRAM Mutual Fund, SHRIRAM AMC, Board of Trustees and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios/rejection of any application / allotment of Units or mandatory redemption of Units due to non compliance with the provisions of the PMLA, SEBI/AMFI circular(s) and KYC policy and / or where the AMC believes that transaction is suspicious in nature within the purview of the Act and SEBI/AMFI circular(s) and reporting the same to FIU-IND

For further details, please refer Section 'Prevention of Money Laundering' under the Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

### 8. KNOW YOUR CUSTOMER (KYC) COMPLIANCE

It is mandatory for the Third Party to quote the KYC Compliance Status and attach proof of KYC Compliance viz. KYC Acknowledgement Letter (or Printout of KYC Compliance Status downloaded from CVL website ([www.cvlindia.com](http://www.cvlindia.com))) using the PAN. Declaration Form without a valid KYC Compliance of Third Party will be rejected.

In the event of non-compliance of KYC requirements, Board of Trustees/SHRIRAM AMC reserves the right to freeze the folio of the investor(s) and effect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any.

For further details, please refer Section 'Know Your Customer (KYC) Compliance' under the Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

*This page has been kept blank intentionally*

# Enrolment Form for SIP / Micro SIP

[For OTM registered investors only]

(Please read terms & conditions overleaf)

Important : Please strike out the Section(s) that is/are not used by you to avoid any unauthorised use

Enrolment Form no. : S/



SIP/ Micro SIP via ECS/NACH (Debit Clearing) in select cities or via Direct Debit/Standing Instruction in select banks / branches only.

KEY PARTNER / AGENT INFORMATION (Investors applying under Direct Plan must mention "Direct" in ARN column.)					FOR OFFICE USE ONLY (TIME STAMP)
ARN	ARN Name	Sub-Broker ARN / Bank Branch Code	Internal Code for Sub-Agent/ Employee	Employee Unique Identification Number (EUIN)	
ARN-					

Declaration for "execution-only" transaction (only where EUIN box is left blank) (Refer Item No. 3a)

I / We hereby confirm that the EUIN box has been intentionally left blank by me / us as this is an "execution-only" transaction without any interaction or advice by the employee / relationship manager/ sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee / relationship manager / sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

Sign Here _____ First/Sole Applicant/Guardian	Sign Here _____ Second Applicant	Sign Here _____ Third Applicant
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Transaction Charges for Applications through Distributors only (Refer Item No. 16 and please tick (✓) any one)

Date D D M M Y Y Y Y

<input type="checkbox"/> I confirm that I am a First time invest or across Mutual Funds. (Rs. 150 deductible as Transaction Charge and payable to the Distributor)	<input type="checkbox"/> I confirm that I am an existing investor in Mutual Funds. (Rs. 100 deductible as Transaction Charge and payable to the Distributor)
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If the total commitment of investment through SIP (i.e. amount per SIP installment X no. of installments) amounts to Rs.10,000 or more and your Distributor has opted to receive transaction Charges, the same are deductible as applicable from the installment amount and payable to the Distributor. In such cases Transaction Charge will be recoverable in 3-4 installments. Units will be issued against the balance of the installment amounts invested.

Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various factors including the service rendered by the ARN Holder.

I/ We have read and understood the contents of the Scheme Information Document(s) and Statement of Additional Information and the terms & conditions of enrolment for Systematic investment Plan (SIP) and of NACH/ECS (Debit Clearing) / Direct Debit / Standing Instruction facilities and agree to abide by the same. I /We hereby apply to the Trustee of SHRIRAM Mutual Fund for SIP application under of the following Scheme(s)/ Plan(s) / Option(s) and agree to abide by the terms and conditions of the same. I/ We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various mutual Funds from amongst which the Scheme is being recommended to me/us.

Applicable to PEKRN Holders : I, the first / sole holder, also hereby declare that I do not hold a Permanent Account Number and hold only a single PAN Exempt Reference No. (PEKRN) issued by KYC Registration Authority and that my existing investments together with the current application will not result in aggregate investments exceeding Rs. 50,000/- in a rolling 12 months period or in a financial year.

Applicable to application under Direct Plan : I/We hereby declare and confirm that I/We have read and understood the Scheme related documents pertaining to the "Direct Plan" and also confirm that the investments in Scheme through "Direct Plan" is/are made at my own discretion. SHRIRAM Mutual Fund/SHRIRAMAMC/Trustee shall not be liable for any consequences arising out of such investments.

Please (✓) any one. In the absence of indication of the option the form is liable to be rejected.

<input type="checkbox"/> NEW REGISTRATION	<input type="checkbox"/> CHANGE IN BANK ACCOUNT	<input type="checkbox"/> CANCELLATION (Refer Item No. 11)
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## INVESTOR DETAILS

Application No. (For New Investor) / Folio No. (For Existing Investor) [Grid]

SIGNATURE (Refer Item No. 3(c))

Sole/1st Applicant (As per Aadhaar) [Grid]	[Grid]	[Grid]	[Grid]	[Grid]
PAN# or PEKRN# [Grid]	[Grid]	KYC# (Mandatory) [Please tick (✓)]	<input type="checkbox"/> Proof Attached	[Grid]
Name of Guardian (As per Aadhaar) (in case Applicant is minor) [Grid]	[Grid]	[Grid]	[Grid]	[Grid]
PAN# or PEKRN# [Grid]	[Grid]	KYC# (Mandatory) [Please tick (✓)]	<input type="checkbox"/> Proof Attached	[Grid]
Second Applicant (As per Aadhaar) [Grid]	[Grid]	[Grid]	[Grid]	[Grid]
PAN# or PEKRN# [Grid]	[Grid]	KYC# (Mandatory) [Please tick (✓)]	<input type="checkbox"/> Proof Attached	[Grid]
Third Applicant (As per Aadhaar) [Grid]	[Grid]	[Grid]	[Grid]	[Grid]
PAN# or PEKRN# [Grid]	[Grid]	KYC# (Mandatory) [Please tick (✓)]	<input type="checkbox"/> Proof Attached	[Grid]

# Please attach Proof. If PAN/PEKRN/KYC is already validated please don't attach any proof. Refer Item No. 15 and 16.

Scheme [Grid]

(Investors applying under Direct Plan must mention "Direct" against the Scheme name).

Plan [Grid] Option [Grid]

Each SIP/ Micro SIP Amount (Rs.) [Grid] Frequency \*  Monthly  Quarterly (\*Default Frequency) [Refer Item No. 6(iv)]

## ACKNOWLEDGEMENT SLIP (To be filled in by the Unit holder)

Date :	SHRIRAM MUTUAL FUND Administrative Head Office : 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059	Enrolment Form No. : S/
Received from Mr./Ms./M/s. [Grid]	'SIP/Micro SIP' application for	ISC Stamp & Signature
Scheme / Plan / Option [Grid]		
Total Amount (Rs.) [Grid]	Please Note : All purchases are subject to realisation of cheques	

"In case there is any change in your KYC information please update the same by using the prescribed 'KYC Change Request Form' and submit the same at the Point of Service of any KYC Registration Agency"

SIP/Micro SIP Date  1st  5th  \*15th  20th  25th  Any other day (Please Specify)

[Default : 15th\*] [Refer Item No. 6(iv)]

SIP/Micro SIP Period Start From         End On\*\*         \*\*Please refer Item No. 6(ii) and 7(b)

First SIP/ Micro SIP Transaction via Cheque No.         Cheque Dated         Amount @ (Rs.)

Mandatory Enclosure (if 1st Installment is not by cheque)  Blank cancelled cheque  Copy of cheque  @ The first cheque amount should be same as each SIP Amount.

The name of the first / sole applicant must be pre-printed on the cheque.

DEMAT ACCOUNT DETAILS*	NSDL	CDSL
(Optional - refer instruction 10)		
Investor opting to hold units in demat form may provide a copy of the DP statement to match the demat details as stated in the application form.	DP Name <input type="text"/>	<input type="text"/>
	DP ID <input type="text"/>	<input type="text"/>
	Beneficiary Account No. <input type="text"/>	<input type="text"/>

I/we hereby authorise SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited and their authorised service providers, to debit my/our following bank account by ECS (Debit Clearing) / Direct Debit / Standing Instruction for collection of SIP/ Micro SIP payments.

**BANK DETAILS**

Bank Name

Branch Name  Bank City

Account Number

9 Digit MICR Code  ◀ (Please enter the 9 digit number that appears after the cheque number)

Account Type (Please ✓)  Savings  Current  NRO  NRE  FCNR  Others (please specify) \_\_\_\_\_

Account holder Name as in Bank Account

SIP Top-up (Optional) (Refer Item No. 7e) (Please ✓ to avail this facility) Top-up Amount (Rs.)  (The amount should be in multiples of Rs. 500 only)

SIP Top-up Frequency :  Half-yearly  Yearly (Quarterly SIP offers top-up frequency at yearly intervals only.)

**I / We hereby confirm and declare as under :**

I/ We have read, understood and agree to comply with the terms and conditions of OTM Facility, Scheme related documents of the Scheme and the terms & conditions of enrolment for Systematic Investment Plan (SIP).

**The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various mutual Funds from amongst which the Scheme is being recommended to me/us.**

**Applicable to SIP Top-up facility (not available under Micro SIP) :**

I/We hereby agree to avail the top-up facility for SIP and authorize my bank to execute the NACH/ECS/Direct Debit/Standing Instruction for a further increase in installment from my designated account.

Please write SIP Enrolment Form no. / Folio no. on the reverse of the cheque.

1st Account Holder's Signature (As in Bank Records)	<input type="text"/>	2nd Account Holder's Signature (As in Bank Records)	<input type="text"/>	3rd Account Holder's Signature (As in Bank Records)	<input type="text"/>
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**For Office Use only (Not to be filled in by Investor)**

Recorded on <input type="text"/>	Scheme Code <input type="text"/>
Recorded by <input type="text"/>	Credit Account Number <input type="text"/>



**SIP / MICRO SIP TERMS & CONDITIONS FOR ECS (DIRECT CLEARING) / DIRECT DEBIT FACILITY / STANDING INSTRUCTION**

The form can be used by investors who wish to enroll for SIP or Micro SIP (PAN exempt investments) facility. However, Investors shall submit separate forms in case they wish to enroll for both SIP and Micro SIP facility.

Micro Systematic Investment Plans (Micro SIPs) where aggregate of investments (Lump sum plus SIP) in a rolling 12 month period or in a financial year i.e. April to March do not exceed Rs. 50,000 shall be exempt from the requirement of PAN. However, such investors shall be required to quote PAN Exempt KYC Reference Number (PEKRN) details of which are given in PAN Exempt Investments in point no. 14 below.

1. SIP (includes reference to Micro SIP) is available to investors in the following Scheme(s) (including Direct Plan thereunder) of SHRIRAM MUTUAL FUND : SHRIRAM Nifty 1D Rate Liquid ETF.

The above list is subject to change from time to time. Please contact the nearest Investor Service Centre (ISC) of SHRIRAM Mutual Fund for updated list.

2. Enrolment Form should be completed in English and in Block Letters only. Please tick (✓) in the appropriate box (□), where boxes have been provided. Enrolment Form complete in all respects, should be submitted at any of the Official Points of Acceptance of SHRIRAM Mutual Fund.

In case SIP/ Micro SIP investments are made through "Third Party Payments" i.e. payment made through an instrument issued from a bank account other than that of the first named applicant/ investor mentioned in the application form, Investors are required to additionally fillup "submit the" Third Party Payment Declaration Form. (available at any of our ISCs or on our website www.shriramamc.in) along with the SIP Enrolment Form.

3. a. Investment through Distributors

Agents / distributors are not entitled to sell units of mutual funds unless they are registered with Association of Mutual Funds in India (AMFI). Further, SEBI has made it compulsory for every employee/relationship manager/ sales person of the distributor of mutual fund products to quote the Employee Unique Identification Number (EUIIN) obtained by him/her from AMFI in the Application Form. EUIIN, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Hence, if your investments are routed through a distributor, please ensure that the EUIIN is correctly filled up in the Application Form.

However, if your distributor has not given you any advice pertaining to the investment, the EUIIN box may be left blank. In this case, you are required to provide a duly signed declaration to this effect, as given in the Form.

These requirements do not apply to Overseas Distributors.

New cadre distributors: SEBI has introduced a new cadre of distributors who can sell only „simple and performing, diversified equity schemes, index funds and fixed maturity plans. There is a prefix of "SD" before the ARN number of such distributors. They also hold a EUIIN which must be quoted in the application form. The list of eligible schemes which may be sold by such distributors is available on www.shriramamc.in. In case your application through such distributor is not for an eligible scheme, it is liable to be rejected.

**Direct Investments**

Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.

- b. Investor holding folio of SHRIRAM Mutual Fund are required to submit only the Enrolment Form. Investor should provide their Folio Number. Investors details and mode of holding (single, joint, anyone or survivor) will be as per the existing folio number and would prevail over any conflicting information furnished in this form. Investor name should match with the details in the existing folio number, failing which the application form is liable to be rejected.
  - c. Signature(s) should be as it appears on the Application Form / Folio and in the same order. In case the mode of holding is joint, all unit holders are required to sign.
4. a. New investors who wish to enroll are required to fill the
    - (i) NACH Form (ii) Enrolment Form (iii) the respective Scheme Application Form (included in the Key Information Memorandum) along with / without the initial investment instrument. Investors are advised to read the Scheme Information Document(s) / Key Information Memorandum(s) and Statement of Additional information available with the ISCs of SHRIRAM Mutual Fund, brokers/ distributors and also displayed at the SHRIRAM Mutual Fund website i.e. www.shriramamc.in
    - b. New investors can apply for SIP into respective Scheme/ Plans/ Options without any existing investment / folio. The provision for "Minimum Application Amount" specified in the respective Scheme Information Document will not be applicable for SIP investments. e.g. the minimum application amount for new investors.

In SHRIRAM Nifty 1D Rate Liquid ETF - Growth Option is Rs. 5,000/-. However, in case of SIP investments, an investor can enter the Scheme with minimum amount of Rs. 1,000/-.

5. The facility is offered to investors the following two Plans (Frequency) :

- i) Monthly Systematic Investment Plan (MSIP)
- ii) Quarterly Systematic Investment Plan (QSIP)

6. (i) The details of minimum amount per installment, minimum number of installments, maximum duration etc. are given below :

**SHRIRAM NIFTY 1D RATE LIQUID ETF :**

Monthly SIP (MSIP) Minimum amount per SIP installment	Rs. 1000.00 and multiple of Re. 1/- thereafter
Quarterly SIP (QSIP) Minimum amount per SIP installment	Rs. 3000.00 and multiple of Re. 1/- thereafter
No. of SIP Installments :	
a) Minimum	12 installments
Monthly	4 installments
Quarterly	No Limit
b) Maximum	

- (ii) There is no maximum duration for enrolment.

An investor has an option to choose the "End Date" of the SIP by filling the date.

However, SIPs will be registered in a folio held by a minor only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date. The facility will automatically stand terminated upon the Unit Holder attaining 18 years of age.

- (iii) In respect of enrollments, the Load Structure prevalent at the time of enrollment shall govern the investors during the tenure.

The Load Structure for investments through SIP is as follows :

- (a) Entry Load : Not Applicable. 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.

- (b) Exit Load : Applicable Exit Load, if any, in the Scheme/Plan/Option as on the date of enrollment of the SIP will be levied.

For Scheme load structure please refer to Key Information Memorandum or contact the nearest Investor Service Centre (ISC) of SHRIRAM Mutual Fund or visit our website www.shriramamc.in.

- (iv) In case the Frequency (Monthly/Quarterly) and date is not indicated, Monthly frequency shall be treated as the Default Frequency and 15th shall be treated as the Default date.

7. All installments are available on the 1st, 5th, 15th, 20th, 25th or any other day (as specified) of a month. All installments under MSIP and QSIP should be of the same amount and same date. For example, if an investor is enrolling for the period July-December for total amount of Rs. 30,000/-, there shall be a minimum of six installments (except for first cheque which could be of any date) and same amount. The first cheque should be drawn on the same bank account which is to be registered for NACH/ECS (Debit Clearing)/Direct Debit/Standing Instruction. Alternatively, the cheque may be drawn on any bank, but investor should provide a photocopy of the cheque of the bank/ branch for which ECS (Debit Clearing)/Direct Debit/Standing Instruction are to be registered. However, investors need not submit the First Cheque for enrollment provided the Enrolment Form is attested by the Bank from which installment will be debited or copy of the cancelled cheque or photocopy of the cheque of bank account from which the installment will be debited is attached to the form.

- a. First Cheque and subsequent Installments via NACH/ECS (Debit Clearing)/Direct Debit/Standing Instruction should be of the same amount.

- b. The Enrolment Form should be submitted at least 30 days before the first date for NACH/ECS (Debit Clearing)/ Direct Debit / Standing Instruction.

If the start period is not mentioned, the chosen/Default date falling 30 days from submission date will be considered as the start date and will be registered from that date (eg. If the application is submitted on June 1 without indicating the start period then the SIP start date would be July 1).

In case the auto debit start date as mentioned in the form does not satisfy this condition, the first date shall be rolled over to begin from the immediately following month (provided the roll over date does not exceed the maximum time gap of 90 days between the SIP submission date and first installment of SIP through NACH/ECS (Debit Clearing) or Direct Debit / Standing Instruction) and the end date shall accordingly get extended.

- c. Payment may be made by cheque drawn on any bank which is situated at and is a member of the "Bankers" Clearing House located at the place where the SIP application is submitted. No cash, money orders or postal orders will be accepted.

- d. In case, the name is not pre-printed on the cheque or signature on the cheque does not match, then the first named applicant/investor should submit any one of the following documents i.e. a copy of the bank passbook or a statement of bank account or a letter from the bank on its letterhead certifying the investors bank account details (Account Number, Type, Branch, MICR Code). For other

mode of payment and further details, please refer to the section "Third Party Payments" under the Instructions in the Key Information Memorandum and section .How to Apply, under Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

e. SIP Top-up Facility :

SIP Top-up Facility is not available under Micro SIPs

1. SIP Top-up is a facility wherein an investor who wishes to enroll for SIP, has an option to increase the amount of the SIP installment by a fixed amount at pre-defined intervals. The SIP Top-up amount should be filled in the SIP Enrolment Form itself.

2. The SIP Top-up amount should be in multiples of Rs. 500/- only.

3. Monthly SIP offers top-up frequency at half yearly and yearly intervals. Quarterly SIP offers top-up frequency at yearly intervals only. In case the top-up frequency is not indicated under Monthly SIP, it will be considered as yearly interval.

f. (i) Payment through Electronic Clearing Service NACH (ECS) (Debit Clearing) of the Reserve Bank of India (RBI) - Investors / Unit holders may also enroll for Auto Debit facility through NACH/ECS (Debit Clearing) of the RBI.

List of Cities for Auto Debit Facility via NACH/ECS (Debit Clearing) should conform to the NACH/ECS Debit locations approved by RBI. The same is available on [www.rbi.org.in](http://www.rbi.org.in) and on our website [www.shriramamc.in](http://www.shriramamc.in)

This facility is offered only to the investors having bank accounts in select cities.

The bank account provided for NACH/ECS (Debit) should participate in local MICR clearing.

Auto debit facility is available only on specific dates of the month as under:

The investor agrees to abide by the terms and conditions of NACH/ECS facility of RBI.

(ii) Payment through Direct Debit Facility

Investors / Unit holders may enroll for Direct Debit Facility available with the banks / branches with whom Shriram Mutual Fund may have an arrangement from time to time.

This facility shall be offered only to the investors having bank accounts in select banks/ branches eligible for this facility.

This facility shall be available on all SIP dates of a month / quarter once it is rolled out by the Mutual Fund.

(iii) Payment through Standing Instruction

Payment may also be accepted by direct debits to unit holders' bank accounts. For this purpose, unit holders are required to give standing instructions to their bankers (with whom SHRIRAM Mutual Fund may have an arrangement from time to time) to debit their bank accounts at periodic intervals and credit the subscription proceeds to the SHRIRAM Mutual Fund bank account.

The cities / banks / branches in the list may be modified/updated/changed/ removed at any time in future entirely at the discretion of SHRIRAM Mutual Fund / SHRIRAM Asset Management Company Limited without assigning any reasons or prior notice. If any city / bank / branch are removed, SIP instructions for investors in such city / bank / branch via NACH/ECS (Debit Clearing) / Direct Debit / Standing Instruction route will be discontinued without prior notice. Please contact the nearest Investor Service Centre of SHRIRAM Mutual Fund for updated list

8. Units will be allotted on the applicable dates subject to realization of funds where total SIP investments on a date amount to Rs. 2 lakh or more. In case date falls on the Non-Business Day or falls during a book closure period, the immediate next Business Day will be considered for the purpose of determining the applicability of NAV subject to the realization of the proceeds

9. The first cheque should be drawn in favor of "the Specific Scheme A/c Permanent Account Number" or "the Specific Scheme A/c First Investor Name" (e.g. in case of SBF the cheque should be drawn in favor of "SHRIRAM NIFTY 1D RATE LIQUID ETF A/c ABCDE1234F" OR "SHRIRAM NIFTY 1D RATE LIQUID ETF A/c Robin Saha"; and crossed "Account Payee only". Unit holders must write the SIP Enrolment Form number, if any, on the reverse of the cheque.

10. Investors have an option to hold the Units in dematerialized form. However, this facility is not available in case of units offered under the Daily/Weekly/Fortnightly IDCW Option(s). The units will be allotted in demat form based on the applicable NAV as per the terms of the respective Scheme Information Document(s) and will be credited to investor's Demat Account on weekly basis on realization of funds. For e.g. Units will be credited to investor's Demat account every Monday on the basis of realization status received during the last week (Monday to Friday).

Investors desiring to get allotment of units in demat mode must have a beneficiary account with a Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depositories Limited (CDSL). If PAN is not mentioned by applicants, the application is liable to be rejected. Investors may attach a copy of the Client Master Form / DP statement showing active demat account details for verification. Names, mode of holding, PAN details, etc. of the Investor will be verified against the Depository data. The units will be credited to the beneficiary (demat) account only after successful verification with the depository records and realization of payment. In case the

demat details mentioned in the application are incomplete/incorrect or do not match with the depository data, the application shall be treated as invalid for processing under demat mode and therefore may be considered for processing in non-demat form i.e. in physical mode if the application is otherwise valid.

All details such as address, bank details, nomination etc. will be applicable as available in the depositories. records. For effecting any subsequent changes to such information, Investors should approach their DP. Redemption requests for units held in demat mode must be submitted to DP or through Stock Exchange Platform, as applicable.

Holding / transacting of units held in demat mode shall be in accordance with the procedures / requirements laid down by the Depositories, viz. NSDL/ CDSL in accordance with the provisions under the Depositories Act, 1996 and the regulations thereunder.

11. You can choose to change your bank account or discontinue the facility by giving thirty days written notice to any of our Investor Service Centers. For cancellation request, please mention the start date as mentioned at the time of registration.

12. AMC reserves the right to freeze the folio of the investor(s) in cases where two consecutive installments are not honored or the Bank Account [for NACH/ECS (Debit clearing)/Direct Debit/Standing Instruction] is closed and request for change in bank account [for NACH/ECS (Debit clearing) / Direct Debit/Standing Instruction] is not submitted at least 30 days before the next SIP Auto Debit.

13. In case the first SIP installment is processed (as the cheque may be banked) and the application is found to be defective, the SIP registration will be ceased for future installments. Investor will be sent a communication to this effect. No refunds shall be made for the units already allotted. However, redemptions/ switch-outs shall be allowed.

14. Permanent Account Number (PAN)

(a) SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) except as mentioned in point (b) below. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her father or mother or the guardian, as the case may be. Applications not complying with the above requirement may not be accepted/ processed. PAN card copy is not required separately if KYC acknowledgement letter is made available.

For further details, please refer Section "Permanent Account Number" under Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

(b) PAN Exempt Investments

SEBI vide its circular dated July 24, 2012 has clarified that investments in mutual funds schemes (including investments in SIPs) of upto Rs.50,000 per investor per year across all schemes of the Fund shall be exempt from the requirement of PAN. Accordingly, individuals (including Joint Holders who are individuals, NRIs but not PIOs, Minors) and Sole proprietary firms who do not possess a PAN ("Eligible Investors")\* are exempt from submission of PAN for investments upto Rs.50,000 in a rolling 12 month period or in a financial year i.e. April to March. However, Eligible Investors are required to undergo Know Your Customer (KYC) procedure with any of the SEBI registered KYC Registration Authorities (KRA). Eligible Investors must quote PAN Exempt KYC Reference Number (PEKRN) issued by the KRA under the KYC acknowledgement letter in the application form and submit a copy thereof along with the application form. In case the applicant is a minor, PAN/PEKRN details of the Guardian shall be submitted, as applicable. Eligible Investors (i.e. the First Holder) must not possess a PAN at the time of submission of application form. Eligible investors must hold only one PEKRN issued by any one of the KRAs.

If an application for investment together within investments made in a rolling 12 month period or in a financial year exceeds Rs.50,000, such an application will be rejected.

Fresh / Additional Purchase and Systematic Investment Plans will be covered in the limit of Rs.50,000. Investors may switch their investments to other Schemes. However, if the amount per switch transaction is Rs.50,000 or more, in accordance with the extant Income Tax rules, investors will be required to furnish a copy of PAN to the Mutual Fund.

The detailed procedures / requirements for accepting applications shall be as specified by the AMC/Trustee from time to time and their decision in this behalf will be final and binding.

\* *HUFs and other categories are not eligible for such*

15. Know Your Customer (KYC) Compliance

Units held in account statement (non-demat) form

Investors should note that it is mandatory for all registrations to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application and attach proof of KYC Compliance viz. KYC Acknowledgement Letter.

Units held in electronic (demat) form

For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee / AMC.

For further details, please refer Section. Know Your Customer (KYC) Compliance under Statement of Additional Information available on our website [www.shriramamc.in](http://www.shriramamc.in).

## 16. Transaction Charges

In accordance with Para 10.5 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, as amended from time to time SHRIRAM Asset Management Company Limited ("the AMC")/Mutual Fund will deduct Transaction Charges from the purchase/ subscription amount received from the investors investing through a valid ARN Holder i.e. AMFI registered Distributor (provided the Distributor has opted-in to receive the Transaction Charges). The Distributor may opt to receive Transaction Charges based on the type of product Transaction Charge of Rs. 150/- (for a first time investor across mutual funds) or Rs. 100/- (for investor other than : first time mutual fund investor) per purchase / subscription of Rs. 10,000/- and above will be deducted from the purchase / subscription amount and paid to the Distributor. The balance amount shall be invested.

Transaction Charges in case of investments through SIP/Micro SIP Transaction Charges are deductible only if the total commitment of investment (i.e. amount per SIP/Micro SIP installment x No. of installments) amounts to Rs. 10,000/-or more. In such cases, Transaction Charges shall be deducted in 3-4 installments.

Transaction Charges shall not be deducted for :

- (a) where the Distributor of the investor has not opted to receive any Transaction Charges for your Scheme type
- (b) for purchases / subscriptions / total commitment amount in case of SIP of an amount less than Rs. 10000.
- (c) for transactions other than purchases / subscriptions relating to new inflows i.e. through Switches / Systematic Transfers / IDCW Transfers / IDCW Reinvestment, etc.;
- (d) for purchases / subscriptions made directly with the Fund (i.e. not through any Distributor); and
- (e) for purchases / subscriptions routed through Stock Exchange (s)

First/Sole Applicant/Guardian should indicate whether he is a first time investor across Mutual Funds or an existing investor in the appropriate box provided for this purpose in the application form. SHRIRAM AMC/Fund will endeavor to identify the investor as "first time" or "existing" based on the Permanent Account Number (PAN)/ PEKRN at the First/Sole/Applicant/Guardian level. If the PAN/PEKRN details are available, then the First/Sole Applicant/Guardian will be treated as existing investor (i.e. Rs. 100/- will be deducted as Transaction Charge) else the declaration in the application form will be considered (i.e. Rs. 150/- for rst time investors or Rs. 100/- for other than first time investors will be deducted as Transaction Charge, as applicable). However, if an investor has not provided any declaration, he will be considered as an "existing" investor.

17. a. Investors will not hold SHRIRAM Mutual Fund / SHRIRAM Asset Management Company Limited (SHRIRAM AMC) its registrars and other service providers responsible and/or liable if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to local holidays or any other reason.
  - b. SHRIRAM Mutual Fund / SHRIRAM AMC, its registrars and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.
  - c. SHRIRAM Mutual Fund / SHRIRAM AMC reserves the right to reject any application without assigning any reason
  - d. Auto Debit facility is subject to the terms and conditions of the Banks offering the said facility and the Investors will not hold SHRIRAM Mutual Fund / SHRIRAM AMC responsible for any rejection.
18. The Trustee/SHRIRAM AMC reserves the right to change/modify the terms and conditions of the SIP. For the updated terms and conditions of SIP, contact the nearest ISC or visit our website [www.shriramamc.in](http://www.shriramamc.in).

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**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions:**

- A) Fields marked with '\*' are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only** (To be filled by financial institution)

Application Type\*  New  Update

KYC Number  (Mandatory for KYC update request)

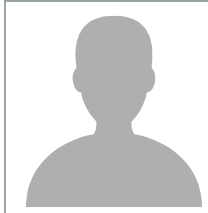
Account Type\*  Normal  Simplified (for low risk customers)  Small

**1. PERSONAL DETAILS** (Please refer instruction A at the end)

PAN  (Please enclose a duly attested copy of your PAN Card)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name*(Same as Aadhaar)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>			
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

**PHOTO**



Signature / Thumb Impression

**2. TICK IF APPLICABLE**  RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

**4. PROOF OF ADDRESS (PoA)\***

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type\*  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)  
 Voter Identity Card  NREGA Job Card  Others   
 Simplified Measures Account - Document Type code

**Address**

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \* (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details  Same as Correspondence / Local Address details

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  ZIP / Post Code\*  ISO 3166 Country Code\*

5. CONTACT DETAILS (All communications will be sent on provided Mobile No. / Email-ID) (Please refer instruction F at the end)

Tel. (Off) - Tel. (Res) - Mobile -

Fax - Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1' ) (please refer instruction G at the end)

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\*  Guardian of MinorName\*  Assignee  Authorized Representative

Name\* Prefix  First Name  Middle Name  Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)

A- Passport Number  Passport Expiry Date --

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date --

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government)  Identification Number

S- Simplified Measures Account - Document Type code  Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I under t a k e to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies

**KYC VERIFICATION CARRIED OUT BY**

Date --

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

**INSTITUTION DETAILS**

Name

Code

Emp. Branch

[Institution Stamp]

**In-Person Verification (IPV) Carried Out by**

Date --

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

**Institution Details**

Name

Code

Emp. Branch

[Institution Stamp]

**General Instructions:**

- 1 Fields marked with '\*' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of "small Account type only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 **Name** : Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name or spouse's name** is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

- 1 **Tax identification Number (TIN)**: TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security / insurance number, citizen / personal identification / services code/number and resident registration number)

**C Clarification / Guidelines of filling "Proof of Identity [PoI]" section**

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention Identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central / State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent/ Overseas Address details' section**

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

**E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

**F Clarification / Guidelines on filling 'Contact details' section**

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile Number.

**G Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section**

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

**List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988**

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**List of ISO two - digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portuga	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		



**Annexure A1**

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**

(To be filled by financial institution)

Application Type\*

New  Update

KYC Number

(Mandatory for KYC update request)

**1. CORRESPONDENCE / LOCAL ADDRESS DETAILS** (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**2. CONTACT DETAILS** (All communications will be sent on provided Mobile No. / Email-ID) (Please refer instruction F at the end)

Tel. (Off) - Tel. (Res) - Mobile -

Fax - Email ID

**3. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Date : --

Place :

[Signature / Thumb Impression

Signature / Thumb Impression of Applicant

**Annexure B1**

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**      Application Type\*     New     Update  
(To be filled by financial institution)    KYC Number     (Mandatory for KYC update request)

**1. DETAILS OF RELATED PERSON** (please refer instruction **G** at the end)

Addition of Related Person     Deletion of Related Person    KYC Number of Related Person (if available\*)

Related Person Type\*     Guardian of MinorName\*     Assignee     Authorized Representative

Name\*    Prefix    First Name    Middle Name    Last Name

(If KYC number and name are provided, below details of section 6 are optional)

**PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)**

A- Passport Number        Passport Expiry Date     -  -

B- Voter ID Card   

C- PAN Card   

D- Driving Licence        Driving Licence Expiry Date     -  -

E- UID (Aadhaar)   

F- NREGA Job Card   

Z- Others (any document notified by the central government)        Identification Number   

S- Simplified Measures Account - Document Type code        Identification Number   

**2. APPLICANT DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date :  -  -     Place :

**9. ATTESTATION / FOR OFFICE USE ONLY**

**Documents Received**     Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date <input type="text"/> - <input type="text"/> - <input type="text"/>	Name <input type="text"/>
Emp. Name <input type="text"/>	Code <input type="text"/>
Emp. Code <input type="text"/>	<input type="text"/>
Emp. Designation <input type="text"/>	
Emp. Branch <input type="text"/>	
<input type="text"/> [Employee Signature]	
	<input type="text"/> [Institution Stamp]

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than individual**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Tick '✓' wherever applicable
- C) Please fill the date in DD-MM-YYYY format.
- D) Please fill the form in English and in BLOCK letters.
- E) KYC number of application is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- G) List of two character ISO 3166 country codes is available at the end.
- H) Please read section wise detailed guidelines / instructions at the end.
- I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only** (To be filled by financial institution)

Application Type\*  New  Update

KYC Number  (Mandatory for KYC update request)

**1. Entity Details\*** (Please refer instruction A at the end)

Name\*

Entity Constitution Type\*  Others (Specify)  (Please refer instruction B at the end)

Date of Incorporation/Formation\*  DD -  MM -  YY  YY Date of Commencement of Business  DD -  MM -  YY  YY

Place of Incorporation/Formation\*  Country of Incorporation/Formation\*  TIN or Equivalent Issuing Country

PAN\*  Form 60 furnished

TIN/GST Registration Number

**2. PROOF OF IDENTITY (Pol)\*** (Please refer instruction B at the end)

(Certified copy of any one of the following Proof of Identity [Pol] needs to be submitted)

Officially valid document(s) in respect of person authorised to transact

Certificate of Incorporation/Formation   Registration Certificate  Regn Certificate No.

Memorandum and Articles of Association  Partnership Deed  Trust Deed

Resolution of Board/Managing Committee  Power of Attorney granted to its manager, officers or employees to transact on its behalf

Activity proof – 1 (For Sole Proprietorship Only)  Activity proof – 2 (For Sole Proprietorship Only)

**3. ADDRESS\*** (Please see instruction C at the end)

**3.1 Registered Office Address/Place of Business\***

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

**Proof of Address\***  Certificate of Incorporation/Formation  Registration Certificate  Other Document

Line 1\*

Line 2

Line 3  City/Town/Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**3.2 Local Address in India (If different from above)\***

Line 1\*

Line 2

Line 3  City/Town/Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**4. Contact Details** (All communications will be sent to Mobile number/Email-ID provided may be used) (Please refer instruction D at the end)

Tel. (Off)  -  Fax  -

Mobile  -  Email ID

Mobile  -  Email ID

**5. Number of Related Persons**  (Please refer instruction E at the end)



A. Clarification / Guidelines on filling 'Entity Details' section

1. Entity Constitution Type

- A - Sole Partnership
- B - Partnership Firm
- C - HUF
- D - Private Limited Company
- E - Public Limited Company
- F - Society
- G - Association of Persons (AOP)/Body of Individuals (BOI)

- H - Trust
- I - Liquidator
- J - Limited Liability Partnership
- K - Artificial Liability Partnership
- L - Public Sector Banks
- M - Central/State Government Department or Agency
- N - Section 8 Companies (Companies Act, 2013)

- O - Artificial Juridical Person
- P - International Organisation or Agency / Foreign
- Q - Not Categorized
- R - Others
- S - Foreign Portfolio Investors

2. In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, Form 60 may be obtained if PAN is not available.

B. Clarification / Guidelines on filling 'Proof of Identity [POI]' section

1. Activity Proof 1 and Activity Proof 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
2. Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
3. Certified copy of document or equivalent e document or OVD obtained through Digital KYC process to be submitted.
4. Equivalent e document means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
5. Digital KYC process has to be carried out as stipulated in the PML Rules,
6. KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C. Clarification/Guidelines for filling Proof of Address [PoA] section

1. State/U.T Code and Pin/Post Code will not be mandatory for overseas addresses.
2. Certified copy of document or equivalent e document to be submitted.

D. Clarification/Guidelines for filling 'Contact Details' section

1. Please mention two digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91 9999999999).
2. Do not add '0' in the beginning of Mobile number.

E. Clarification/Guidelines for filling 'Related Person Details' section

1. Personal Details

- The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2. Proof of Address [PoA]

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- State/U.T Code and Pin/Post Code will not be mandatory for Overseas addresses.
- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

C. If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related' are required.

D. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F. Provision for capturing signature of multiple authorised persons is to be made by the RE

**List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988**

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**List of ISO two - digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portuga	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curaçao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

**Annexure A2 | Legal Entity | Other than Individuals**

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person**

**Important Instructions:**

- A) Fields marked with '\*' are mandatory fields.
- B) Tick '✓' wherever applicable
- C) Please fill the date in DD-MM-YYYY format.
- D) Please fill the form in English and in BLOCK letters.
- E) KYC number of application is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- G) List of two character ISO 3166 country codes is available at the end.
- H) Please read section wise detailed guidelines / instructions at the end.
- I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only** Application Type\*  New  Update  
 (To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

**1. Details of Related Person\*** (Please refer instruction A at the end)

Addition of Related Person  Deletion of Related Person  Update Related Person Details  
 KYC Number of Related Person (if available\*)  (If KYC number is available, only 'Related Person Type' & 'Name' is mandatory)  
**Related Person Type\***  Director  Promoter  Karta  Trustee  Partner  Court Appointment Official  Proprietor  
 Beneficiary  Authorised Signatory  Beneficial Owner  Power of Attorney Holder  Other (Please specify)  
 DIN (Director Identification Number)  (Mandatory if Related Person Type is Director)

**1.1 PERSONAL DETAILS** (Please refer instruction E at the end)

Prefix  First Name  Middle Name  Last Name   
 Name\*(Same as ID proof)  Maiden Name   
 Father / Spouse Name  Mother Name   
 Date of Birth\* DD - MM - YYYY   
 Gender\*  M- Male  F- Female  T-Transgender  
 Nationality\*  IN- Indian  Others (ISO 3166 Country Code )  
 PAN\*   Form 60 furnished

**1.2 Proof of Identity and Address\*** (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

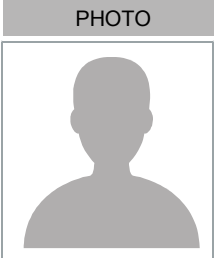
- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NREGA Job Card
- E- National Population Register Letter
- F- Proof of Possession of Aadhaar

II  E- KYC Authentication

III  Offline verification of Aadhaar

**Address**

Line 1\*   
 Line 2   
 Line 3  City/Town/Village\*   
 District\*  Pin / Post Code\*  State/U.T Code\*  ISO 3166 Country Code\*



**1.3 Proof of Identity and Address\*** (Please refer instruction E at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NREGA Job Card
- E- National Population Register Letter
- F- Proof of Possession of Aadhaar

II  E- KYC Authentication

III  Offline verification of Aadhaar

IV  Deemed PoA

V  Self-Declaration

**Address**

Line 1\*   
Line 2   
Line 3  City/Town/Village\*   
District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**1.4 CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email ID provided) (Please refer instruction D at the end)

Tel. (Off)  -  Tel. (Res)  -  Mobile   
Email ID

**2. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**3. ATTESTATION / FOR OFFICE USE ONLY**

**Documents Received**  Certified Copies  E-KYC data received from UIDAI  Data received from Offline verification  
Digital KYC Process Equivalent e-document

**KYC VERIFICATION CARRIED OUT BY**

**INSTITUTION DETAILS**

Identity Verification  Done Date --  
Emp. Name   
Emp. Code   
Emp. Designation   
Emp. Branch

Name   
Code

[Employee Signature]

[Institution Stamp]



## Details of FATCA & CRS information For Non-Individuals / legal entity

**Name of the entity**

**Type of address given at KRA**  Residential or Business  Residential  Business  Registered Office

**PAN**  **Date of incorporation** DD / MM / YYYY

**City of incorporation**

**Country of incorporation**

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 \_\_\_\_\_  
Please refer to para 3(vii) Exemption code for U.S. persons under part D of FATCA Instructions & definitions

### 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)

1. We are a **Global Intermediary Identification Number (GIIN)**
- Financial institution <sup>3</sup>  **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**  
 or  
 Direct reporting NFE <sup>4</sup>  Name of sponsoring entity \_\_\_\_\_  
(please tick as appropriate)
- GIIN Not available** (please tick as applicable)  **Applied for**  
 If the entity is a financial institution  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 (that is, a company whose shares are regularly traded on an established securities market) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Yes <input checked="" type="checkbox"/> <small>(If yes, please specify any one stock exchange on which the stock is regularly traded)</small> Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Yes <input checked="" type="checkbox"/> <small>(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</small> Name of listed company _____ Nature of relation : Subsidiary of the Listed Company or Controlled by a Listed Company Name of stock exchange _____
3.	Is the Entity an active <sup>1</sup> non-financial Entity (NEF) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Yes <input checked="" type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> <small>(Mention code-refer 2c of part D)</small>
4.	Is the Entity a passive <sup>2</sup> NFE <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Yes <input checked="" type="checkbox"/> <small>(If yes, please fill UBO declaration in the next section.)</small> Nature of Business _____

<sup>1</sup>Refer 2 of Part D | <sup>2</sup>Refer 3(II) of Part D | <sup>3</sup>Refer 1(1) of Part D | <sup>4</sup>Refer 3(vi) of Part D |



**PART D FATCA 'Instructions & Definitions' :**

*(Note : The Guidance Note/notification issued by the CBDT shall prevail in respect to interpretation of the terms specified in the form)*

- 1(i) 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.
- 1(ii) Depository Institution:** Is an entity that accepts deposits in the ordinary course of banking or similar business.
- 1(iii) 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.
- 1(iv) Investment entity** is any entity:
  - (a) 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 individual and collective portfolio management; or
    - (ii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or
  - (b) 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 any 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 04, 05, 06 and 07 - refer point 2c.)

- 1(v) 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.

**1(vi)** FI not required to apply for GIIN: Refer Rule 114F(5) of Income Tax Rules, 1962 for the conditions to be satisfied as "non-reporting financial Institution and Guidance issued by CBDT in this regard.

**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	Trust
09	Non-registering local banks
10	FFI with only Low-Value Accounts
11	Sponsored investment entity and controlled foreign corporation
12	Sponsored, Closely Held Investment Vehicle

<b>2. Active Non-financial entity (NFE) :</b> (anyone of the following): Refer Explanation (A) to 114F(6) of Income Tax Rules, 1962 for details.	
<b>Code</b>	<b>Sub-category</b>
<b>01</b>	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;
<b>02</b>	The stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity, the stock of which is regularly traded on an established securities market.
<b>03</b>	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
<b>04</b>	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;
<b>05</b>	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;
<b>06</b>	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;
<b>07</b>	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
<b>08</b>	<p>Any NFE that fulfills all of the following requirements :</p> <p>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.</p> <p>It is exempt from income tax in India :</p> <p>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets</p> <p>The applicable laws of the NFE's country of 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> <p>(i) an Investor Protection Fund referred to in clause (23EA);</p> <p>(ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</p> <p>(iii) an Investor Protection Fund referred to in clause of section 10 23EC, of the Act.</p>

<b>3. Other definitions</b>
<p>(i) <b>Related entity</b></p> <p>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.</p>
<p>(ii) <b>Passive NFE</b></p> <p>The term passive NFE means</p> <p>(i) any non-financial entity which is not an active non-financial entity; or</p> <p>(ii) an investment entity defined in clause 1 (iv)(b) of these instructions</p> <p>(iii) a withholding foreign partnership or withholding foreign trust:</p>
<p>(iii) <b>Passive income</b></p> <p>The term passive income includes income by way of:</p> <p>(1) Dividends,</p> <p>(2) Interest</p> <p>(3) Income equivalent to interest,</p> <p>(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</p> <p>(5) Annuities</p> <p>(6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income</p> <p>(7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,</p> <p>(8) The excess of foreign currency gains over foreign currency losses</p> <p>(9) Net income from swaps</p> <p>(10) Amounts received under cash value insurance contracts</p> <p>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.</p>

(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 determining the beneficial owner, the procedure specified In the following circular as amended from time to time shall be applied, namely:-

- (i) DBOD.AML.BC. No.71/14.01.001/2012-13, issued on the 18th January, 2013 by the Reserve Bank of India; or
- (ii) CIR/MIRSD/2/2013, issued on the 24th January, 2013 by the Securities and Exchange Board of India; or
- (iii) IRDA/SDD/GDL/CIR/019/02/2013, Issued on the 4th February, 2013 by the Insurance Regulatory and Development Authority.

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, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar position;

<i>(A) Controlling Persons Type :</i>	
<i>Code</i>	<i>Sub-category</i>
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 anyone 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 national principal contracts, futures, forwards, and I 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) *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.

**(vii) Exemption code for U.S. persons (Refer 114F(9) of Income Tax Rules, 1962 for details.**

<i>Code</i>	<i>Sub-category</i>
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



# Instructions

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficial owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the 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.

## 1. Ultimate Beneficial Owner (UBO)

### A. For Investors other than individuals or trusts :

- i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - 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.
- ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

### B. For Investors which is a trust

The identity of the settler 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.

### C. Exemption in case of listed companies

If the client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.

### D. Foreign investors

In accordance SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, list of Beneficial Owners with shareholding or beneficial interest in FPIs (including FIIs and Sub-Accounts, FVCIs where applicable but excluding individual where he is the first applicant/holder) equal to or above 25% has to be provided. If Global Custodian / Local Custodian provides an undertaking to submit these details, then such undertaking may be obtained. AMC / Mutual Fund reserves right to obtain any further information / documents from the client based on its assessment of their risk profile.

## 2. Position / Designation :

Refers to the Position / Designation of the Beneficial Owner during the time of ownership.

## 3. UBO Codes :

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

## 4. Applicable period

Refers to the period of Beneficial Ownership to be indicated, if applicable.

## 5. KYC requirements

Beneficial Owner(s) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s). AMC / Mutual Fund reserves right to obtain any further information / documents from the client based on its assessment of their risk profile. If not KYC compliant, then complete the KYC formalities and send the information to CAMS/MF/AMC.

## 6. Foreign Country Information

If you are a Person with Tax Residency in a Country other than India, please provide you Country of birth, Nationality, Country of Tax residency and Foreign Tax Reference Number. If you have any questions about you tax residency, please contact your tax advisor.

**For any queries / clarifications, Please contact the nearest Investor Service Centres (ISCs) of the AMC number (033-23373012) or E-mail us : info@shriramamc.in**



**SHRIRAM ASSET MANAGEMENT COMPANY LIMITED (SHRIRAM AMC LTD.)**  
**- INVESTOR SERVICE CENTRES / OFFICIAL POINTS OF ACCEPTANCE FOR SHRIRAM MUTUAL FUND**  
**(For Ongoing Transactions)**

\*\*Official points of acceptance of transactions for schemes of SHRIRAM Mutual Fund

SHRIRAM Mutual Fund Administrative Head Office: 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059.

**Address of CAMS Centres:**

**Andhra Pradesh:**

40-1-68, Rao & Ratnam Complex, Near Chennupati Petrol Pump, M.G Road, Labbipet, Vijayawada, Andhra Pradesh -520010; CAMS Service Center, Flat No GF2, D NO 47-3-2/2, Vigneshwara Plaza, 5th Lane, Dwarakanagar, Visakhapatnam - 530 016, ANDHRA PRADESH; CAMS SERVICE CENTER, Door No.31-13-1158,1st floor, 13/1, Arundelpet, Ward No.6,Guntur-522002; 97/56, I Floor, Immadisetty Towers Ranganayakulapet Road, Santhapet, Nellore, Andhra Pradesh -524001; Door No: 6-2-12, 1st Floor, Rajeswari Nilayam,Near Vamsikrishna Hospital, Nyapathi Vari Street, T Nagar,Rajahmundry,AndhraPradesh,533101; Shop No : 6, Door No: 19-10-8,(Opp to Passport Office),AIR Bypass Road,Tirupati-517501, AndhraPradesh; Bandi Subbaramaiah Complex,D.No:3/1718, Shop No: 8, Raja Reddy Street,Kadapa,AndhraPradesh,516001; 15-570-33, I FloorPallavi Towers, Subash Road Opp: Canara Bank, Anantapur, AndhraPradesh,515001; CAMS SERVICE CENTRE,Shop No.26 and 27,Door No.39/265A and 39/265B,Second Floor, Skanda Shopping Mall, Old Chad Talkies, Vaddageri, 39th Ward, Kurnool-518001; CAMS SERVICE CENTRE,D No.25-4-29,1St floor,Kommireddy vari street,Beside Warf Road, Opp Swathi Medicals, Kakinada-533001; Door No 4-4-96, First Floor,Vijaya Ganapathi Temple Back Side, Nanubala Street, Srikakulam, Andhra Pradesh 532001

**Assam:**

CAMS SERVICE CENTRE, Piyali Phukan Road, K.C.Path, House No.1, Rebari, Guwahati-781008; CAMS Transaction Point, Bhowal Complex Ground Floor, Near Dena Bank, Rangagora Road PO / Dist - Tinsukia Assam PIN -786 125

**Bihar:**

G-3, Ground Floor,OM ComplexNear Saket Tower, SP Verma Road,Patna,Bihar,800001; Brahman Toli, Durgasthan Gola Road, Muzaffarpur, Bihar-842001; CAMS SERVICE CENTRE,Ground Floor, Gurudwara Road, Near Old Vijaya Bank, Bhagalpur - 812001; Ground Floor, Belbhadrapur, Near Sahara Office, Laheriasarai Tower Chowk, Laheriasarai, Darbhanga- 846001.

**Chattisgarh:**

CAMS SERVICE CENTRE, 1st Floor, Plot No.3,Block No.1,Priyadarshini Pariswar west,Behind IDBI Bank,Nehru Nagar,Bhilai-490020; HIG,C-23 Sector - 1Devendra Nagar, Raipur, Chattisgarh-492004; CAMS SERVICE CENTRE, Shop No.B-104, First Floor,Narayan Plaza, Link Road,Bilaspur(C.G)-495001

**Goa:**

CAMS SERVICE CENTER,Office No.103,1st Floor,Unitech City Centre,M.G.Road,Panaji Goa,Goa-403001; CAMS SERVICE CENTRE,F4-Classic Heritage,Near Axis Bank,Opp.BPS Club,Pajifond,Margao,Goa-403601; CAMS COLLECTION CENTRE,Office No.503,Buildmore Business Park,New Canca By pass Road,Ximer,Mapusa Goa-403507; No DU 8, Upper Ground Floor, Behind Techoclean Clinic, Suvidha Complex Near ICICI Bank, Vasco, Goa-403802

**Gujarat:**

111- 113,1st Floor- Devpath Building Off. C G Road Behind Lal Bungalow, Ellis Bridge, Ahmedabad Gujarat 380006; CAMS SERVICE CENTRE,Shop No.G-5 ,International Commerce Center,Nr.Kadiwala School,Majura Gate, Ring Road, Surat-395002; 103 Aries Complex, Bpc Road, Off R.C.Dutt Road, Alkapuri,Vadodara,Gujarat, 390007; 101, A.P. Tower, B/H, Sardhar Gunj, Next to Nathwani Chambers, AnandGujarat388001; 305-306, Sterling Point,Waghawadi RoadOpp. HDFC BANK,BhavnagarGujarat364002; 207,Manek Centre, P N Marg, Jamnagar, Gujarat, 361001; Office 207 - 210, Everest BuildingHarihar ChowkOpp Shastri Maidan,Limda Chowk, Rajkot, Gujarat, 360001; 3rd floor,Gita Nivas, Opp Head Post Office, Halar Cross LaneValsad,Gujarat,396001; CAMS Service Centre,214-215,2nd floor, Shivani Park,Opp.Shankheshwar Complex,Kaliawadi, Navsari -396445, Gujarat; CAMS SERVICE CENTRE,Office No.4-5,First Floor,RTO Relocation Commercial Complex-B,Opp.Fire Station,Near RTO Circle,Bhuj-Kutch-370001; "Aastha Plus", 202-A, 2nd FloorSardarbag Road, Nr. AlkapuriOpp. Zansi Rani Statue, Junagadh Gujarat-362001; Shop No - F -56First Floor, Omkar ComplexOpp Old Colony,Nr Valia Char Rasta,GIDC,Ankleshwar,Gujarat,393002; 1st Floor,Subhadra ComplexUrban Bank RoadMehsana,Gujarat, 384002; 208, 2nd Floor HEENAARCADE,Opp. Tirupati Tower Near G.I.D.C. Char Rasta, Vapi, Gujarat,396195; CAMS SERVICE CENTRE,A-111,First Floor,R K Casta,Behind Patel Super Market, Station Road, Bharuch-392001; F 142, First Floor,Ghantakarna Complex Gunj Bazar, Nadiad,Gujarat, 387001; A/177, Kailash Complex Opp. Khedut Decor Gondal, Gujarat,360311; CAMS SERVICE CENTER, Shyam Sadan,First Floor, Plot No.120, Sector 1/A, Gandhidham-370201; D-78, First Floor, New Durga Bazar, Near Railway Crossing, Himmatnagar, Gujarat 383001; CAMS SERVICE CENTER, Gopal Trade Center, Shop No.13-14, 3rd Floor, Nr.BK Mercantile bank,Opp.Old Gunj, Palanpur-385001; Shop No. 12,M.D. Residency,Swastik Cross Road, Surendranagar - 363001

**Haryana:**

B-49, 1st Floor, Nehru Ground, Behind Anupam Sweet House NIT,Faridabad,Haryana, 121001; SCO - 16, Sector - 14, First floor,Gurgaon,Haryana, 122001; SCO 83-84, First Floor, Devi Lal Shopping Complex, Opp RBL Bank, G.T.Road, Panipat, Haryana, 132103; CAMS SERVICE CENTRE,SCO 06,Ground Floor,MR Complex,Near Sonipat Stand Delhi Road, Rohtak-124001; 124-B/R,Model TownYamunanagar,Yamuna Nagar,Haryana, 135001; CAMS SERVICE CENTRE,No-12, Opp. HDFC Bank,Red Square Market,Hisar, Haryana, 125001; CAMS SERVICE CENTRE, SCO 48-49, Ground Floor,opp peer, Bal Bhawan Road, Near HDFC Bank,Ambala City, Haryana - 134 003; No.29,Avtar Colony,Behind Vishal Mega Mart, Karnal-132001; Ground Floor of CA Deepak Gupta,,M G Complex, Bhawna marg, Beside Over Bridge,bansal Cinerma Market, Sirsa Haryana, 125055

**Himachal Pradesh:**

I Floor, Opp. Panchayat Bhawan Main Gate Bus Stand, Shimla, Himachal Pradesh,171001; 1st Floor, Above Sharma General Store, Near Sanki Rest house,The Mall,Solan, Himachal Pradesh 173212

**Jammu & Kashmir:**

JRDS Heights Sector 14 Nanak Nagar Near Peaks Auto Showroom Jammu Jammu & Kashmir, 180004

**Jharkhand:**

Mazzanine Floor F-4, City Centre, Sector 4, Bokaro Steel City, Bokaro, Jharkhand, 827004; Urmila Towers, Room No: 111 (1st Floor) Bank More, Dhanbad, Jharkhand, 826001; Millennium Tower, "R" Road, Room No:15 First Floor, Bistupur, Jamshepur, Jharkhand, 831001; 4, HB Road No: 206, 2nd Floor Shri Lok Complex H B Road Near Firayalal, Ranchi, Jharkhand, 834001; S S M Jalan Road Ground floor Opp. Hotel Ashoke, Caster Town, Deoghar, Jharkhand, 814112; Municipal Market Annanda Chowk, Hazaribag, Jharkhand, 825301

**Karnataka:**

Trade Centre,1st Floor45, Dikensen Road ( Next to Manipal Centre ),Bangalore,Karnataka,560042; No. G 4 & G 5,Inland MonarchOpp. Karnataka Bank Kadri Main Road, Kadri, Mangalore, Karnataka, 575003; CAMS SERVICE CENTRE, Classic Complex, Block No.104, 1st Floor, Saraf Colony, Khanapur Road, Tilakwadi, Belgaum-590006; 13, 1st Floor, Akkamahadevi Samaj Complex Church Road, P. J. Extension, Davangere, Karnataka, 577002; No. 204 - 205,1st Floor'EB' Block, Kundagol ComplexOpp. Court, Club Road,Hubli,Karnataka,580029; No.1,1st Floor, CH.26 7th Main, 5th Cross (Above Trishakthi Medicals), Saraswati Puram, Mysore, Karnataka,570009; CAMS SERVICE CENTER,No.18/47/A,Govind Nilaya,Ward No.20,Sangankal Moka Road, Gandhinagar, Ballari-583102; No.65 1st Floor Kishnappa Compound 1st Cross, Hosmane Extn, Shimoga, Karnataka, 577201; CAMS SERVICE CENTER, First Floor, No.17/1, -(272) 12Th Cross Road, Wilson Garden, Bangalore-560027; Pal Complex, 1st Floor, Opp. City Bus Stop, Super Market, Gulbarga,Karnataka 585101; CAMS SERVICE CENTER,Shop No-A2, Basement floor, Academy Tower, Opposite Corporation Bank, Manipal, Karnataka 576104

**Kerala:**

CAMS SERVICE CENTER, Building Name Modayil, Door No. 39/2638 DJ, 2nd Floor 2A M.G. Road, Cochin - 682 016; 29/97G 2nd Floor,S A Arcade,Mavoor Road, Arayidathupalam, Calicut Kerala-673016; CAMS SERVICE CENTER,1307 B, Puthenparambil Building, KSACS Road, Opp.ESIC Office, Behind Malayala Manorama Muttambalam P O,Kottayam-686501; Room No. 26 & 27 Dee Pee Plaza, Kokkalai, Trichur, Kerala, 680001; R S Complex, Opp of LIC Building, Pattom PO, Trivandrum, Kerala, 695004; CAMS SERVICE CENTRE, Uthram Chambers (Ground Floor), Thamarakulam, Kollam-691006; Room No.PP.14/435Casa Marina Shopping Centre Talap,Kannur,Kerala,670004; 10 / 688, Sreedevi Residency,Mettupalayam Street,Palakkad,Kerala,678001; CAMS SERVICE CENTER,1st Floor,Room No-61(63), International shopping Mall, Opp.ST Thomas Evangelical Church,Above Thomsan Bakery,Manjady,Thiruvalla-689105; Doctor's Tower Building, Door No. 14/2562, 1st floor, North of Iorn Bridge, Near Hotel Arcadia Regency, Alleppey Kerala, 688001

**Madhya Pradesh:**

101, Shalimar Corporate Centre, 8-B, South Tukogunj, Opp.Greenpark, Indore, Madhya Pradesh, 452001; Plot no 10, 2nd Floor, Alankar Complex, Near ICICI Bank, MP Nagar, Zone II,Bhopal,Madhya Pradesh 462011; G-6 Global Apartment, Kailash Vihar Colony, Opp. Income Tax Office, City Centre Gwalior Madhya Pradesh-474002; 8, Ground Floor, Datt Towers, Behind Commercial Automobiles, Napier Town, Jabalpur, Madhya Pradesh, 482001; CAMS SERVICE CENTER, 2nd Floor, Parasia Road, Near Surya Lodge, Sood Complex, Above Nagpur CT Scan, Chhindwara, Madhya Pradesh 480001; 1st Floor, Gurunanak dharmakanta, Jabalpur Road, Bargawan, Katni, Madhya Pradesh 483501; Daffria & Co, No.18, Ram Bagh, Near Scholar's School, Ratlam, Madhya Pradesh 457001; Opp. Somani Automobile,s Bhagwanganj Sagar, Madhya Pradesh 470002; Adjacent to our existing Office at 109, 1st Floor, Siddhi Vinayak Trade Center, Shahid Park, Ujjain - 456010

**Maharashtra:**

Rajabhadur Compound, Ground Floor Opp Allahabad Bank, Behind ICICI Bank 30, Mumbai Samachar Marg, Fort Mumbai,Maharashtra,400023; 145 ,Lendra,New Ramdaspath,Nagpur,Maharashtra,440010; CAMS SERVICE CENTER,Vartak Pride,1st Floor,Survey No.46,City Survey No.1477,Hingne budruk,D.P.Road,Behind Dinanath mangeskar

Hospital, Karvenagar, Pune -411052; 81, Gulsham Tower, 2nd Floor, Near Panchsheel Talkies, Amaravati, Maharashtra, 444601; CAMS SERVICE CENTRE, 2nd Floor, Block No.D-21-D-22, Motiwala Trade Centre, Nirala Bazar, New Samarth Nagar, Opp. HDFC Bank, Aurangabad-431001; Rustomji Infotech Services 70, Navipeth Opp. Old Bus Stand Jalgaon, Maharashtra, 425001; 2 B, 3rd Floor, Ayodhya Towers, Station Road, Kolhapur, Maharashtra, 416001; CASM SERVICE CENTRE, 1st Floor, "Shradha Niketan", Tilak Wadi, Opp Hotel City Pride, Shanarup Road, Nasik-422002; Flat No 109, 1st Floor A Wing, Kalyani Tower 126 Siddheshwar Peth, Near Pangal High School Solapur, Maharashtra, 413001; 117 / A / 3 / 22, E Shukrawar Peth, Sargam Apartment, Satara, Maharashtra, 415002; Opp. RLT Science College Civil Lines, Akola, Maharashtra, 444001; CAMS SERVICE CENTER, Dev Corpora, 1st Floor, Office No.102, Cadbury Junction, Eastern Express Way, Thane-400601; CAMS Pvt Ltd, No.351, Icon, 501, 5th Floor, Western Express Highway, Andheri East, Mumbai-400069; Jiveshwar Krupa Bldg Shop. No.2, Ground Floor, Tilak Chowk Harbhat Road, Sangli, Maharashtra-416416; Shop No 6, Ground Floor, Anand Plaza Complex, Bharat Nagar, Shivaji Putla Road, Jalna, Maharashtra, 431203; CAMS SERVICE CENTRE, Platinum Mall, Office No.307, 3rd Floor, Jawahar Road, Ghatkopar East, Mumbai-400077; 501 – TIARA, CTS 617, 617/1-4, E Off Chandavarkar Lane, Maharashtra Nagar, Borivall – West, Mumbai – 400092; CAMS SERVICE CENTRE, BSEL Tech Park, B-505, Plot No.39/5 & 39/5A, Sector 30A, Opp.Vashi Railway Station Vashi, Navi Mumbai-400705; 3, Adelade Apartment, Christain Mohala, Behind Gulshan-E-Iran Hotel, Amardeep Talkies Road, Bhusawal, Maharashtra, 425201; CAMS SERVICE CENTER, Office No.3, 1st Floor, Shree Parvati, Plot No.1/175, Opp. Mauli Sabhagruh,Zopadi Canteen, Savedi, Ahmednagar-414003; House No 3140, Opp Liberty Furniture, Jamnalal Bajaj Road, Near Tower Garden,Dhule, Maharashtra 424001; CAMS SERVICE CENTRE, Orchid Tower, Gr Floor, Gala No.06, S.V.No.301/Paiki 1/2, Nachane Municipality Aat,Arogya Mandir, Nachane Link Road, At, Post, Tal. Ratnagiri Dist. Ratnagiri-415612; Pushpam, Tilakwadi, Opp. Dr. Shrotri Hospital, Yavatmal, Maharashtra 445001

#### **New Delhi:**

7-E, 4th Floor Deen Dayaal Research Institute Building Swami Ram Tirath Nagar, Near Videocon Tower Jhandewalan Extension, New Delhi, New Delhi, 110055; CAMS SERVICE CENTRE, Aggarwal Cyber Plaza-II, Commercial Unit No-371, 3rd Floor, Plot No C-7, Netaji Subhash Palace, Pitampura-110034; CAMS SERVICE CENTER, No.306, 3rd Floor, DDA-2 Building, District Center, Janakpuri, New Delhi-110058; Flat no. 512, Narian Manzil, 23 Barakhamba Road Connaught Place, New Delhi, 110001

#### **Orissa:**

Plot No -111, Varaha Complex Building 3rd Floor, Station Square, Kharvel Nagar, Unit 3-Bhubaneswar-Orissa-751001; CAMS SERVICE CENTER, Kalika temple Street, Ground Floor, Beside SBI BAZAR Branch, Berhampur-760002; Near Indian Overseas Bank Cantonment Road, Mata Math, Cuttack, Orissa, 753001; CAMS SERVICE CENTRE, 2nd Floor, J B S Market Complex, Udit Nagar, Rourkela-769012; C/o Raj Tibrewal & Associates, Opp. Town High School, Sansarak Sambalpur, Orissa, 768001; B C Sen Road, Balasore, Orissa, 756001

#### **Pondicherry:**

S-8, 100, Jawaharlal Nehru Street (New Complex, Opp. Indian Coffee House), Pondicherry, Pondicherry, 605001

#### **Punjab:**

Deepak Tower, SCO 154-155, 1st Floor-Sector 17-Chandigarh-Punjab-160017; U/ GF, Prince Market, Green Field, Near Traffic Lights, Sarabha Nagar Pulli, Pakhowal Road, Ludhiana, Punjab, 141002; CAMS SERVICE CENTER, 3rd Floor, Bearing Unit No-313, Mukut House, Amritsar-143001; CAMS SERVICE CENTER, 144, Vijay Nagar, Near Capital Small Finance Bank, Football Chowk, Jalandar City-144001; CAMS SERVICE CENTRE, No.35 New Lal Bagh, Opp. Polo Ground, Patiala-147001; 2907 GH, GT Road, Near Zila Parishad, Bhatinda, Punjab, 151001; Near Archies Gallery, Shimla Pahari Chowk, Hoshiarpur , Punjab 146001; CAMS SERVICE CENTRE, No.9, New Town, Opp. Jaswal Hotel, Moga Building, Moga-142001

#### **Rajasthan:**

R-7, Yudhishthir Marg C-Scheme Behind Ashok Nagar Police Station, Jaipur, Rajasthan, 302001; AMC No. 423/30 Near Church Opp T B Hospital, Jaipur Road, Ajmer, Rajasthan, 305001; 256A, Scheme No:1, Arya Nagar, Alwar, Rajasthan, 301001; C/o Kodwani Associates Shope No 211-213 2nd floor Indra Prasth Tower syam Ki Sabji Mandi Near Mukerjee Garden Bhiwara-311001 (Rajasthan); 1/5, Nimal Tower, 1st Chopasani Road, Jodhpur, Rajasthan, 342003; B-33 'Kalyan Bhawan, Near Triangle Park, Vallabh Nagar, Kota, Rajasthan, 324007; CAMS SERVICE CENTRE, No.32, Ahinsapuri, Fatehpura Circle, Udaipur-313001; 18 L Block Sri Ganganagar, Rajasthan, 335001; Behind rajasthan patrika In front of vijaya bank 1404, amar singh pura Bikaner.334001; 3, Ashok Nagar, Near Heera Vatika, Chittorgarh, Rajasthan 312001

#### **Tamil Nadu:**

Ground Floor No.178/10, Kodambakkam High Road, Opp. Hotel Palmgrove, Nungambakkam-Chennai-Tamilnadu-600034; CAMS SERVICE CENTRE, No.1334, Thadagam Road, Thirumuthy Layout, R.S.Puram, Behind Venketeswara Bakery, Coimbatore-641002; Shop No 3 2nd Floor Surya Towers, No 272/273 Goodshed Street, Madurai - 625001; 197, Seshaiyer Complex, Agraharam Street, Erode, Tamilnadu, 638001; No.2, I Floor Vivekananda Street, New Fairlands, Salem, Tamilnadu, 636016; 1(1), Binny Compound, II Street, Kumaran Road, Tirupur, Tamilnadu, 641601; CAMS SERVICE CENTRE, No.F4, Magnam Suraksaa Apartments, Tiruvananthapuram Road, Tirunelveli-627002; No 8, I Floor, 8th Cross West Extn, Thillainagar, Trichy, Tamilnadu, 620018; CAMS SERVICE CENTRE, AKT Complex, 2nd Floor, No.1.3, New Sankaranpalayam Road Tolgate, Vellore-632001; No.28/8 1st Floor, Balakrishna Colony, Pachaiappa Street, Near VPV Lodge, Kumbakonam – 612001; 126 G, V.P.Towers, Kovai Road, Basement of Axis Bank Karur, Tamilnadu, 639002; CAMS SERVICE CENTER, 3rd Floor, B R Complex, No.66, Door No.11A, Ramakrishna Iyer Street, Opp. National Cinema Theatre, West Tambaram, Chennai-600045; No.158, Rayala Tower-1, Anna salai, Chennai- 600002; 16A/63A, Pidamaneri Road, Near Indoor Stadium, Dharmapuri, Tamilnadu 636701; CAMS SERVICE CENTER, Survey No.25/204, Attibele Road, HCF Post, Mathigiri, Above Time Kids School, Oppsite To Kuttys Frozen Foods, Hosur-635110; 156A/ 1, First Floor, Lakshmi Vilas Building Opp. To District Registrar Office, Trichy Road, Namakkal, Tamilnadu 637001; No 59 A/1, Railway Feeder Road (Near Railway Station) Rajapalayam Tamilnadu-626117; 4B/A16, Mangal Mall Complex, Ground Floor, Mani Nagar, Tuticorin Tamilnadu-628003

#### **Telangana:**

208, II Floor Jade Arcade Paradise Circle, Hyderabad, Telangana, 500003; Hno. 2-4-641, F-7, 1st Floor, A.B.K Mall, Old Bus Depot Road, Ramnagar, Hanamkonda, Warangal, Telangana-506001; HNo.7-1-257, Upstairs S B H mangammathota, Karimnagar, Telangana, 505001; Shop No: 11 - 2 - 31/3, 1st floor, Philips Complex, Balajinagar, Wyra Road, Near Baburao Petrol Bunk, Khammam, Telangana 507001; CAMS SERVICE CENTRE, No.15-31-2M-1/4, 1st floor, 14-A, MIG, KPHB colony, Kukatapally, Hyderabad-500072

#### **Tirupura:**

Advisor Chowmuhani (Ground Floor), Krishnanagar, Agartala, Tripura, 799001.

#### **Uttarkhand:**

204/121 Nari Shilp Mandir Marg (1st Floor) Old Connaught Place, Chakrata Road, Dehradun, Uttarakhand, 248001; 22, Civil Lines, Ground Floor, Hotel Krish Residency, Roorkee, Uttarakhand 247667

#### **Uttar Pradesh:**

I Floor 106 to 108 City Centre Phase II, 63/ 2, The Mall Kanpur Uttarpradesh-208001; CAMS SERVICE CENTER, Office No.107, 1st Floor, Vaisali Arcade Building, Plot No 11, 6 Park Road, Lucknow-226001; No. 8, II Floor Maruti Tower Sanjay Place, Agra, Uttarpradesh-282002; 30/2, A&B, Civil Lines Station Besides, Vishal Mega Mart Strachey Road, Allahabad, Uttarpradesh-211001; CAMS SERVICE CENTER, 1st Floor, C-10 RDC Rajnagar, Opp Kacheri Gate No.2, Ghaziabad-201002; CAMS SERVICE CENTRE, Shop No.5 & 6, 3rd Floor, Cross Road The mall, A D Tiraha, bank Road, Gorakhpur-273001; 108 Ist Floor Shivam Plaza, Opp: Eves Cinema, Hapur Road, Meerut, Uttarpradesh, 250002; H 21-22, Ist Floor, Ram Ganga Vihar Shopping Complex, Opposite Sale Tax Office, Moradabad-244001; Office no 1, Second floor, Bhawani Market, Building No. D-58/2-A1, Rathyatra Beside Kuber Complex, Varanasi, Uttarpradesh-221010; No.372/18D, 1st Floor Above IDBI Bank, Beside V-Mart, Near RAKSHAN, Gwalior Road, Jhansi-284001; City Enclave, Opp. Kumar Nursing Home Ramghat Road Aligarh Uttarpradesh-202001; CAMS SERVICE CENTER, F-62-63, 2nd Floor, Butler Plaza Commercial Complex Civil Lines Bareilly Uttarpradesh-243001; I Floor, Krishna Complex Opp. Hathni Gate Court Road, Saharanpur, Uttarpradesh, 247001; CAMS SERVICE CENTER, E-3, Ground Floor, Sector 3, Near Fresh Food factory, Noida-201301; CAMS C/O RAJESH MAHADEV & CO SHOP NO 3, 1st Floor JAMIA COMPLEX STATION ROAD BASTI PIN - 272002; CAMS SERVICE CENTRE, 1/13/196A, Civil Lines, Behind Tripati Hotel, Faizabad, Uttarpradesh-224001; Durga City Centre, Nainital Road, Haldwani, Uttarakhand-263139; 248, Fort Road Near Amber Hotel, Jaunpur Uttarpradesh-222001; 159/160 Vikas Bazar Mathura Uttarpradesh-281001; 17, Anand Nagar Complex Opposite Moti Lal Nehru Stadium SAI Hostel Jail Road Rae Bareilly Uttar pradesh -229001; Bijlipura, Near Old Distri Hospital, Jail Road, Shahjahanpur Uttarpradesh-242001; Arya Nagar Near Arya Kanya School Sitapur Uttarpradesh-261001; 967, Civil Lines Near Pant Stadium Sultanpur Uttarpradesh-228001

#### **West Bengal:**

CAMS SERVICE CENTRE, Plot No.3601, Nazrul Sarani, City Centre, Durgapur-713216; CAMS SERVICE CENTER, 2/1, Russell Street, 2nd Floor, Kankaria Centre, Kolkata-700071; Block – G 1st Floor, P C Chatterjee Market Complex Rambandhu Talab PO, Ushagram Asansol Westbengal Pin No 713303; CAMS SERVICE CENTER, No.399, G T Road, 1st floor, Above exide show room, Burdwan West bangal 713101; CAMS SERVICE CENTER, No.78, Haren Mukherjee Road, 1st Floor, Beside SBI Hakimpara, Siliguri-734001; A – 1/50, Block A Kalyani - Nadia Dt, PIN- 741235; CAMS SERVICE CENTRE, "Silver Palace" OT Road, Inda-Kharagpur, G-P-Barakola, P.S.Kharagpur Local, Dist West Midnapore-721305; Cams Collection Centre, 3/1, R.N. Mukherjee Road, 3rd Floor, Office space -3C, "Shreeram Chambers", Kolkata - 700 001; MOUZA-BASUDEVPUR, J.L. NO. 126, Haldia Municipality, Ward No 10, Durgachak, Haldia - 721602; Daxhinapan Abasan, Opp Lane of Hotel Kalinga, SM Pally, Malda, West bangal 732101

**AMFI CERTIFIED STOCK EXCHANGE BROKERS/ CLEARING MEMBERS /DEPOSITORY PARTICIPANTS# AS  
OFFICIAL POINTS OF ACCEPTANCE FOR TRANSACTIONS (PURCHASE/ REDEMPTION) OF UNITS OF  
SHRIRAM MUTUAL FUND SCHEMES THROUGH THE STOCK EXCHANGE(S) INFRASTRUCTURE**

# For Processing only Redemption Request of Units Held in Demat Form.

The eligible AMFI certified stock exchange Brokers/ Clearing Members/ Depository Participants who have complied with the conditions stipulated in Para 16.2.4.8 of SEBI Mutual Funds Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 for stock brokers viz. AMFI/ NISM certification, code of conduct prescribed by SEBI for Intermediaries of Mutual Fund will be considered as Official Points of Acceptance (OPA) of the Mutual Fund.





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