

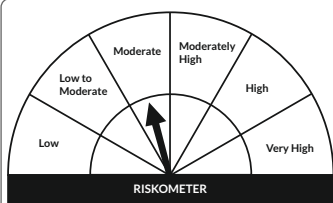
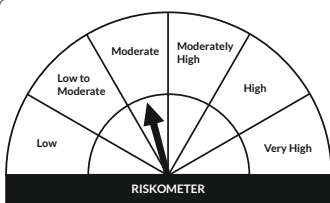
## KEY INFORMATION MEMORANDUM AND APPLICATION FORM

# AXIS CRISIL-IBX AAA NBFC INDEX – JUN 2027 FUND

(An open-ended Target Maturity Index Fund investing in constituents of CRISIL-IBX AAA NBFC Index – Jun 2027.

A moderate interest rate risk and relatively low credit risk.)

Benchmark: CRISIL-IBX AAA NBFC Index – Jun 2027

| Product Labelling  | Product Riskometer  | Benchmark Riskometer   | Potential Risk Class Matrix   |               |                          |                    |                           |                 |  |  |  |                          |  |  |  |                     |      |  |  |                             |  |  |  |
|--|---|--|---|---------------|--------------------------|--------------------|---------------------------|-----------------|--|--|--|--------------------------|--|--|--|---------------------|------|--|--|-----------------------------|--|--|--|
| <p>This product is suitable for investors who are seeking*</p> <ul style="list-style-type: none"> <li>Income over the target maturity period.</li> <li>An open ended target maturity index fund tracking CRISIL-IBX AAA NBFC Index – Jun 2027, subject to tracking error.</li> </ul> <p>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</p> |  <p>Investors understand that their principal will be at moderate risk</p> |  <p>CRISIL-IBX AAA NBFC Index – Jun 2027</p> | <table border="1"> <thead> <tr> <th>Credit Risk →</th> <th>Relatively Low (Class A)</th> <th>Moderate (Class B)</th> <th>Relatively High (Class C)</th> </tr> </thead> <tbody> <tr> <th>Interest Rate ↓</th> <td></td> <td></td> <td></td> </tr> <tr> <th>Relatively Low (Class I)</th> <td></td> <td></td> <td></td> </tr> <tr> <th>Moderate (Class II)</th> <td>A-II</td> <td></td> <td></td> </tr> <tr> <th>Relatively High (Class III)</th> <td></td> <td></td> <td></td> </tr> </tbody> </table> | Credit Risk → | Relatively Low (Class A) | Moderate (Class B) | Relatively High (Class C) | Interest Rate ↓ |  |  |  | Relatively Low (Class I) |  |  |  | Moderate (Class II) | A-II |  |  | Relatively High (Class III) |  |  |  |
| Credit Risk →  | Relatively Low (Class A)  | Moderate (Class B)   | Relatively High (Class C)   |               |                          |                    |                           |                 |  |  |  |                          |  |  |  |                     |      |  |  |                             |  |  |  |
| Interest Rate ↓  |   |  |   |               |                          |                    |                           |                 |  |  |  |                          |  |  |  |                     |      |  |  |                             |  |  |  |
| Relatively Low (Class I)   |   |  |   |               |                          |                    |                           |                 |  |  |  |                          |  |  |  |                     |      |  |  |                             |  |  |  |
| Moderate (Class II)  | A-II  |  |   |               |                          |                    |                           |                 |  |  |  |                          |  |  |  |                     |      |  |  |                             |  |  |  |
| Relatively High (Class III)  |   |  |   |               |                          |                    |                           |                 |  |  |  |                          |  |  |  |                     |      |  |  |                             |  |  |  |

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

Offer of Units of ₹ 10 each during the New Fund Offer and Continuous offer for Units at NAV based prices

**NEW FUND OFFER OPENS ON: SEPTEMBER 13, 2024**

**NEW FUND OFFER CLOSSES ON: SEPTEMBER 23, 2024**

Scheme re-opens on or before : Within Five Business Days from the date of allotment

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

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

This Key Information Memorandum is dated September 09, 2024.

|                                    |   |
|------------------------------------|---|
| Name of Mutual Fund                | : Axis Mutual Fund  |
| Name of Asset Management Company   | : Axis Asset Management Company Ltd.  |
| Name of Trustee Company            | : Axis Mutual Fund Trustee Ltd  |
| Addresses, Website of the entities | : One Lodha Place, 22nd & 23rd Floor, Senapati Bapat Marg, Lower Parel, Mumbai, Maharashtra, Pin Code - 400013.<br><a href="http://www.axismf.com">www.axismf.com</a> |
| Name of Sponsor                    | : Axis Bank Ltd.  |

|  |   |   |         |
|--|---|---|---------|
| Name of scheme   | Axis CRISIL-IBX AAA NBFC Index – Jun 2027 Fund (An open-ended Target Maturity Index Fund investing in constituents of CRISIL-IBX AAA NBFC Index – Jun 2027. A moderate interest rate risk and relatively low credit risk.)  |   |         |
| Scheme code  | AXIS/O/O/DIN/24/09/0089   |   |         |
| Investment Objective   | The investment objective of the scheme is to provide investment returns before fees and expenses that closely corresponds to the total returns of the securities as represented by the CRISIL-IBX AAA NBFC Index – Jun 2027, subject to tracking errors.<br>There can be no assurance that the investment objective of the Scheme will be achieved. |   |         |
| Asset Allocation Pattern of the Scheme   | Under normal circumstances, the asset allocation pattern will be:   |   |         |
|  | Instruments   | Indicative Allocation (% of total assets) |         |
|  |   | Minimum                                   | Maximum |
|  | Fixed Income Instruments replicating CRISIL-IBX AAA NBFC Index – Jun 2027**   | 95  | 100     |
| Debt and Money Market Instruments**^   | 0   | 5   |         |
| ** Including Fixed Income Instruments not forming part of the Index, invested in compliance with Para 3.5 of SEBI Master circular for Mutual Funds and further amended from time to time.  |   |   |         |
| *During normal circumstances, the Scheme's exposure to money market instruments will be in line with the asset allocation table. However, in case of maturity of instruments in the Scheme portfolio, the reinvestment will be in line with the index methodology. |   |   |         |
| <b>Investment in repo/ reverse repo in corporate debt securities</b>   |   |   |         |
| The Scheme may participate in repo/ reverse repo in corporate debt upto 5% of the net assets of the Scheme.  |   |   |         |
| <b>Securities Lending</b>  |   |   |         |
| The Scheme shall adhere to the following limits should it engage in Securities Lending.  |   |   |         |
| 1. Not more than 20% of the net assets of the Scheme can generally be deployed in Securities Lending.  |   |   |         |
| 2. Not more than 5% of the net assets of the Scheme can generally be deployed in Securities Lending to any single counter party/ intermediary (as may be applicable).  |   |   |         |

| <p><b>Asset Allocation Pattern of the Scheme (Contd.)</b></p> | <p><b>Investment in Units of debt and liquid Mutual Fund</b></p> <p>The Scheme may invest upto 5% of the net assets of the Scheme in units of debt and liquid mutual fund schemes of Axis AMC or of other mutual funds in conformity with the investment objective of the Scheme and in terms of the prevailing SEBI (MF) Regulations.</p> <p><b>Investment in Short Term Deposits</b></p> <p>Pending deployment of the funds in securities in terms of investment objective of the Scheme, the AMC may in terms of Para 12.16 of Master Circular for Mutual Fund Scheme as may be amended from time to time, park the funds of the Scheme in short term deposits of the Scheduled Commercial Banks</p> <p>The cumulative gross exposure through debt &amp; money market instruments and repo transactions in corporate debt securities, should not exceed 100% of the net assets of the Scheme in accordance Para 12.24 of Master Circular of Mutual Fund as amended from time to time. Cash or cash equivalents with residual maturity of less than 91 days shall be treated as not creating any exposure. SEBI vide letter dated November 3, 2021 has clarified that Cash Equivalent shall consist of Government Securities, T-Bills and Repo on Government Securities having residual maturity of less than 91 days.</p> <p>Being a passively managed index fund, change in investment pattern is normally not foreseen. However, for short durations part of the corpus may be pending for deployment, in cases of extreme market conditions, special events or corporate events comprising the index. During such period, the AMC may invest funds as part of the total assets in the Tri-Party Repos (TREPS) on Government Securities.</p> <p>^Residual portion of 5% of the net assets of the Scheme is provided for liquidity purposes.</p> <p>The Scheme shall not carry out Short selling, Credit Default Swaps, Overseas Investments, REITs &amp; InvITS, securitized debt, debt instruments having structured obligations / credit enhancement, debt instruments with special features as specified under Para 12.2 of SEBI Master Circular for Mutual Funds and exposure in derivative instruments.</p> <p><b>Indicative Table</b> (Actual instrument/percentages may vary subject to applicable SEBI circulars)</p> <table border="1" data-bbox="341 604 1489 1083"> <thead> <tr> <th>Sr. No.</th> <th>Type of Instrument</th> <th>Percentage of Exposure</th> <th>Circular References</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td>Tri party Repo</td> <td>Allocation may be made to TREPS from any amounts that are pending deployment or on account of any adverse market situation.</td> <td>-</td> </tr> <tr> <td>2.</td> <td>Mutual Fund Units</td> <td>The Scheme may invest upto 5% of the net assets of the Scheme in units of debt and liquid mutual fund schemes of Axis AMC or of other mutual funds in conformity with the investment objective of the Scheme and in terms of the prevailing SEBI (MF) Regulations.</td> <td>Clause 4 of Seventh Schedule of SEBI (MF) Regulations.</td> </tr> <tr> <td>3.</td> <td>Securities Lending</td> <td>The Scheme shall adhere to the following limits should it engage in securities Lending.<br/>1. Not more than 20% of the net assets of the Scheme can generally be deployed in Securities Lending.<br/>2. Not more than 5% of the net assets of the Scheme can generally be deployed in Securities Lending to any single counter party/intermediary (as may be applicable).</td> <td>Para 12.11 of SEBI Master Circular for Mutual Funds as amended from time to time.</td> </tr> <tr> <td>4.</td> <td>Repo and Reverse repo in corporate debt securities</td> <td>The Scheme may participate in repo/ reverse repo in corporate debt upto 5% of the net assets of the Scheme.</td> <td>Para 12.18 of SEBI Master Circular for Mutual Funds</td> </tr> </tbody> </table> <p>The limits given above shall be subject to Schedule VII of the Regulations / circulars issued by SEBI and shall stand revised to the extent of changes in the Regulations/ circulars from time to time.</p> <p>The Scheme shall not invest in following instruments:</p> <table border="1" data-bbox="341 1167 1026 1423"> <thead> <tr> <th>Sr.No.</th> <th>Type of Instrument</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Credit default swaps</td> </tr> <tr> <td>2</td> <td>Overseas Securities</td> </tr> <tr> <td>3</td> <td>REITs and InVITS</td> </tr> <tr> <td>4</td> <td>Securitized Debt</td> </tr> <tr> <td>5</td> <td>Debt instruments with special features AT1 &amp; AT2 Bonds</td> </tr> <tr> <td>6</td> <td>Debt instruments having Credit Enhancement /Structured Obligations</td> </tr> <tr> <td>7</td> <td>The Scheme shall not carry out Short selling.</td> </tr> <tr> <td>8</td> <td>Derivatives</td> </tr> </tbody> </table> <p><b>Short Term and defensive considerations:</b> Due to market conditions, the AMC may invest beyond the range set out in the asset allocation. Such deviations shall normally be for a short term and defensive considerations as per Para 1.14.1.2 of Master Circular for Mutual Funds, and the fund manager will rebalance the portfolio within 7 calendar days from the date of deviation.</p> <p><b>Portfolio rebalancing:</b> In the event of deviation due to change in constituents of the index due to periodic review, in accordance with Para 3.5.3 of Master Circular for Mutual Funds as amended from time to time, the portfolio of the Scheme shall be rebalanced within 7 calendar days from the date of such deviation.</p> <p>Any transactions undertaken in the scheme portfolio of the Index Fund in order to meet the redemption and subscription obligations shall be done while ensuring that post such transactions replication of the portfolio with the index is maintained at all points of time.</p> | Sr. No.  | Type of Instrument  | Percentage of Exposure | Circular References | 1. | Tri party Repo | Allocation may be made to TREPS from any amounts that are pending deployment or on account of any adverse market situation. | - | 2. | Mutual Fund Units | The Scheme may invest upto 5% of the net assets of the Scheme in units of debt and liquid mutual fund schemes of Axis AMC or of other mutual funds in conformity with the investment objective of the Scheme and in terms of the prevailing SEBI (MF) Regulations. | Clause 4 of Seventh Schedule of SEBI (MF) Regulations. | 3. | Securities Lending | The Scheme shall adhere to the following limits should it engage in securities Lending.<br>1. Not more than 20% of the net assets of the Scheme can generally be deployed in Securities Lending.<br>2. Not more than 5% of the net assets of the Scheme can generally be deployed in Securities Lending to any single counter party/intermediary (as may be applicable). | Para 12.11 of SEBI Master Circular for Mutual Funds as amended from time to time. | 4. | Repo and Reverse repo in corporate debt securities | The Scheme may participate in repo/ reverse repo in corporate debt upto 5% of the net assets of the Scheme. | Para 12.18 of SEBI Master Circular for Mutual Funds | Sr.No. | Type of Instrument | 1 | Credit default swaps | 2 | Overseas Securities | 3 | REITs and InVITS | 4 | Securitized Debt | 5 | Debt instruments with special features AT1 & AT2 Bonds | 6 | Debt instruments having Credit Enhancement /Structured Obligations | 7 | The Scheme shall not carry out Short selling. | 8 | Derivatives |
|---|---|--|---|------------------------|---------------------|----|----------------|---|---|----|-------------------|--|--|----|--------------------|--|---|----|--|---|---|--------|--------------------|---|----------------------|---|---------------------|---|------------------|---|------------------|---|--|---|--|---|---|---|-------------|
| Sr. No.   | Type of Instrument  | Percentage of Exposure   | Circular References   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 1.  | Tri party Repo  | Allocation may be made to TREPS from any amounts that are pending deployment or on account of any adverse market situation.  | -   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 2.  | Mutual Fund Units   | The Scheme may invest upto 5% of the net assets of the Scheme in units of debt and liquid mutual fund schemes of Axis AMC or of other mutual funds in conformity with the investment objective of the Scheme and in terms of the prevailing SEBI (MF) Regulations.   | Clause 4 of Seventh Schedule of SEBI (MF) Regulations.                            |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 3.  | Securities Lending  | The Scheme shall adhere to the following limits should it engage in securities Lending.<br>1. Not more than 20% of the net assets of the Scheme can generally be deployed in Securities Lending.<br>2. Not more than 5% of the net assets of the Scheme can generally be deployed in Securities Lending to any single counter party/intermediary (as may be applicable). | Para 12.11 of SEBI Master Circular for Mutual Funds as amended from time to time. |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 4.  | Repo and Reverse repo in corporate debt securities  | The Scheme may participate in repo/ reverse repo in corporate debt upto 5% of the net assets of the Scheme.  | Para 12.18 of SEBI Master Circular for Mutual Funds                               |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| Sr.No.  | Type of Instrument  |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 1   | Credit default swaps  |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 2   | Overseas Securities   |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 3   | REITs and InVITS  |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 4   | Securitized Debt  |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 5   | Debt instruments with special features AT1 & AT2 Bonds  |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 6   | Debt instruments having Credit Enhancement /Structured Obligations  |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 7   | The Scheme shall not carry out Short selling.   |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| 8   | Derivatives   |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |
| <p><b>Investment Strategy</b></p>                             | <p>The Scheme follows a passive investment strategy</p> <p>Axis CRISIL-IBX AAA NBFC Index – Jun 2027 Fund is a passively managed index fund which will employ an investment approach designed to track the performance of CRISIL-IBX AAA NBFC Index – Jun 2027.</p> <p>The Scheme will follow Buy and Hold investment strategy in which debt instruments by NBFCs will be held till maturity unless sold for meeting redemptions/rebalancing.</p> <p>The Scheme shall replicate the index. In case the Scheme is not able to replicate the index the Fund Manager may invest in other issuances within the limits specified and subject to conditions laid down by Para 3.5 of Master Circular for Mutual Funds as amended from time to time. During normal circumstances, the Scheme's exposure to money market instruments will be in line with the asset allocation table. However, in case of maturity of instruments in the scheme portfolio, the reinvestment will be in line with the index methodology.</p> <p>Pursuant to Para 3.5 of SEBI Master Circular for Mutual Funds, as amended by SEBI from time to time the scheme shall be considered to be replicating the underlying index, provided</p> <p>In case of Target Maturity Index Funds, the following norms for permissible deviation in duration shall apply:</p> <ol style="list-style-type: none"> <li>For portfolio with residual maturity of greater than 5 years: Either +/- 6 months or +/- 10% of duration, whichever is higher.</li> <li>For a portfolio with residual maturity of up to 5 years: Either +/- 3 months or +/- 10% of duration, whichever is higher.</li> <li>However, at no point of time, the residual maturity of any security forming part of the portfolio shall be beyond the target maturity date of the Index Fund.</li> </ol>   |  |   |                        |                     |    |                |   |   |    |                   |  |  |    |                    |  |   |    |  |   |   |        |                    |   |                      |   |                     |   |                  |   |                  |   |  |   |  |   |   |   |             |

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| <b>Risk Profile of the Scheme</b>                  | <p>Mutual Fund units involve investment risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment.</p> <p><b>Scheme specific Risk Factors are summarized below:</b></p> <p>The scheme carries risks associated with investing in debt securities, money market instruments.</p> <p>Investments in debt and money market instruments are subject to interest rate risk, reinvestment risk, basis risk, credit risk, spread risk, prepayment risk, etc. to the extent of the Scheme's investments in such securities.</p> <p>Please refer to the SID for further details.</p>   |   |   |
| <b>Risk Mitigation Strategies</b>                  | <p>Risk is an inherent part of the investment function. Effective Risk Management is critical to Fund Management for achieving financial soundness. Investments by the Scheme shall be made as per the investment objectives of the Scheme and provisions of the Regulations. <b>For more details, please refer SID.</b></p>  |   |   |
| <b>Plans and Options</b>                           | <p><b>Plans</b></p> <ul style="list-style-type: none"> <li>• Axis CRISIL-IBXAAA NBFC Index – Jun 2027 Fund - Direct Plan</li> <li>• Axis CRISIL-IBXAAA NBFC Index – Jun 2027 Fund - Regular Plan</li> </ul> <p><b>Each plan offers the following options:</b></p> <p>a) Growth Option</p> <p>b) Income Distribution cum Capital Withdrawal (IDCW)<br/>(IDCW Payout Facility and IDCW Re-Investment Facility)</p> <p><b>Regular Plan:</b> Regular Plan is available for all type of investors investing through a Distributor.</p> <p><b>Direct Plan:</b> Direct Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor.</p> <p>All the plans will have common portfolio.</p> <p><b>Eligible investors / modes for applying:</b> All categories of investors (whether existing or new Unitholders) as permitted under the Scheme Information Document of the Scheme are eligible to subscribe under Direct Plan. Investments under Direct Plan can be made through various modes offered by the Fund for investing directly with the Fund (except Platform(s) where investors' applications for subscription of units are routed through Distributors).</p> <p>All the plans will have common portfolio.</p> <p><b>Default Option/Facility</b></p> <p>The investor must clearly specify his choice of option/facility. In the absence of such clear instruction, it will be assumed that the investor has opted for 'default' option / facility and the application will be processed accordingly. The default plan/ option / facility are:</p> <p><b>Default Option:</b> Growth (between Growth and IDCW)</p> <p><b>Default Facility:</b> IDCW Re-investment facility (between IDCW Re-investment and IDCW Payout facility).</p> <p>For detailed disclosure on default plans and options, kindly refer SAI.</p>   |   |   |
| <b>Applicable NAV</b>                              | <p><b>Subscriptions/Purchases including Switch - ins:</b></p> <p>The following cut-off timings shall be observed by the Mutual Fund in respect of purchase of units of the Scheme and the following NAVs shall be applied for such purchase:</p> <ol style="list-style-type: none"> <li>1. where the application is received upto 3.00 pm on a Business day and funds are available for utilization before the cut-off time – the closing NAV of the Business day shall be applicable;</li> <li>2. where the application is received after 3.00 pm on a Business day and funds are available for utilization on the same day or before the cut-off time of the next Business Day - the closing NAV of the next Business Day shall be applicable;</li> <li>3. irrespective of the time of receipt of application, where the funds are not available for utilization before the cut-off time - the closing NAV of Business day on which the funds are available for utilization shall be applicable.</li> </ol> <p>For determining the applicable NAV for allotment of units in respect of purchase / switch in the Scheme, it shall be ensured that:</p> <ol style="list-style-type: none"> <li>i. Application is received before the applicable cut-off time</li> <li>ii. Funds for the entire amount of subscription/purchase as per the application are credited to the bank account of the Scheme before the cutoff time.</li> <li>iii. The funds are available for utilization before the cut-off time.</li> </ol> <p>The aforesaid provisions shall also be applicable to systematic transactions like Systematic Investment Plan, Systematic Transfer Plan, etc offered by scheme(s).</p> <p><b>Redemptions including Switch - outs:</b></p> <p>The following cut-off timings shall be observed by the Mutual Fund in respect of Repurchase of units:</p> <ol style="list-style-type: none"> <li>a. where the application received upto 3.00 pm – closing NAV of the day of receipt of application; and</li> <li>b. an application received after 3.00 pm – closing NAV of the next Business Day.</li> </ol> <p>The above mentioned cut off timing shall also be applicable to transactions through the online trading platform.</p> <p>In case of Transaction through Stock Exchange Infrastructure, the Date of Acceptance will be reckoned as per the date &amp; time; the transaction is entered in stock exchange's infrastructure for which a system generated confirmation slip will be issued to the investor..</p> |   |   |
| <b>Minimum Application Amount/ Number of Units</b> | <b>Purchase</b>   | <b>Additional Purchase</b>                    | <b>Repurchase</b>                             |
|  | ₹ 5,000 and in multiples of ₹ 1/- thereafter.   | ₹ 1,000 and in multiples of ₹ 1/- thereafter. | There will be no minimum Redemption criteria. |
|  | For details of investment/transaction through SIP/STP/SWP & other facilities please refer to the SID & SAI.   |   |   |
| <b>Despatch of Repurchase (Redemption) Request</b> | <p>The Scheme offers Units for Subscription and Redemption at NAV based prices on all Business Days on an ongoing basis commencing not later than 5 business days from the date of allotment. Under normal circumstances the AMC shall dispatch the redemption proceeds within three (3) working days from the date of receipt of request from the Unit holder. The AMC shall adhere to guidelines published by AMFI /SEBI for exceptional circumstances under which the scheme is unable to transfer redemption or repurchase proceeds within prescribed timelines.</p>  |   |   |
| <b>Benchmark Index</b>                             | CRISIL-IBXAAA NBFC Index – Jun 2027   |   |   |
| <b>Dividend Policy (IDCW)</b>                      | <p>The Trustee will endeavor to declare the IDCW as specified, subject to availability of distributable surplus calculated in accordance with the Regulations. The actual declaration of IDCW and frequency will inter-alia, depend on availability of distributable surplus calculated in accordance with SEBI (MF) Regulations and the decisions of the Trustee shall be final in this regard. There is no assurance or guarantee to the Unit holders as to the rate of IDCW nor that it will be paid regularly.</p>  |   |   |
| <b>Name of the Fund Manager</b>                    | Mr. Aditya Pagaria  |   |   |
| <b>Name of the Trustee Company</b>                 | Axis Mutual Fund Trustee Limited  |   |   |

|  |   |
|--|---|
| <b>Performance of the scheme</b>                     | Not applicable as the Scheme is a new fund to be launched.  |
| <b>Additional Scheme Related Disclosures</b>         | <ol style="list-style-type: none"> <li>1. Scheme's portfolio holdings (top 10 holdings by issuer and fund allocation towards various sectors - Please refer the AMC website <a href="https://www.axismf.com/statutory-disclosures">https://www.axismf.com/statutory-disclosures</a> for said</li> <li>2. Disclosure of name and exposure to Top 7 issuers, stocks, groups and sectors as a percentage of NAV of the scheme in case of debt and equity ETFs/index funds - Please refer the AMC website <a href="https://www.axismf.com/statutory-disclosures">https://www.axismf.com/statutory-disclosures</a> for said details.</li> <li>3. Portfolio turnover ratio for the one-year period: Not Applicable</li> </ol> <p>Not applicable as the Scheme is a new fund to be launched.</p>   |
| <b>Expenses of the Scheme</b>                        | <p><b>For Continuous Offer</b></p> <p><b>(i) Load Structure</b><br/> <b>Entry load:</b> Not Applicable<br/> <b>Exit load:</b> Nil</p> <p>The above mentioned load structure shall be equally applicable to the special products offered under the Scheme such as SIP, SWP, etc. offered by the AMC.</p> <p>For switches between the Plans i.e. between Regular and Direct Plan or vice versa, load will be charged by the scheme.</p> <p>Exit load charged to the investors will be credited back to the Scheme net of GST.</p> <p>Investors are requested to check the prevailing load structure of the Scheme before investing. For any change in load structure AMC will issue an addendum and display it on the website/ Investor Service Centres.</p> <p>Para 10.4 of SEBI Master Circular for Mutual Fund has decided that there shall be no entry Load for all Mutual Fund schemes.</p> <p>The Trustee/AMC reserves the right to change/ modify the Load structure from a prospective date.</p> <p><b>(ii) Recurring expenses</b></p> <p>In case of an index fund scheme, 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.</p> <p>Expenses as permissible under Regulation 52 of SEBI (MF) Regulations and as prescribed by SEBI from time to time shall be charged to the Scheme. 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. For details of such expenses please refer the SID of the Scheme.</p> <p>Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc. and no commission for distribution of Units will be paid/ charged under Direct Plan.</p> <p>Investors can refer 'Total Expense Ratio of Mutual Fund Schemes' section on <a href="https://www.axismf.com/total-expense-ratio">https://www.axismf.com/total-expense-ratio</a> for Total Expense Ratio (TER) details.</p> <p><b>Actual expense for the financial year ended _____ (unaudited): Regular Plan: _____, Direct Plan: _____%</b></p>  |
| <b>Tax treatment for the Investors (Unitholders)</b> | Investors are advised to refer to the paragraph on Taxation in the "Statement of Additional Information" and to consult their own tax advisors with respect to the specific amount of tax and other implications arising out of their participation in the scheme.  |
| <b>Daily Net Asset Value (NAV) Publication</b>       | The AMC will calculate and disclose the first NAV of the Scheme within a period of 5 business days from the date of allotment. Subsequently, the AMC will calculate and disclose the NAVs on all Business Days. The AMC shall update the NAVs on website of the Association of Mutual Funds in India - AMFI ( <a href="http://www.amfiindia.com">www.amfiindia.com</a> ) before 11.00 p.m. on every Business Day and shall also update the NAVs on the website of AMC ( <a href="http://www.axismf.com">www.axismf.com</a> ).   |
| <b>For Investor Grievances please contact</b>        | <p><b>Name and Address of Registrar :</b> KFin Technologies Limited, Unit – Axis Mutual Fund, Selenium, Tower B, Plot Number 31 &amp; 32, Financial District, Gachibowli, Hyderabad - 500008. Tel: 040 - 33211000.</p> <p><b>Name, address, telephone number, fax number, e-mail i.d. of the Mutual Fund :</b> Mr. C P Shivkumar, Axis Asset Management Co. Ltd. One Lodha Place, 22nd &amp; 23rd Floor, Senapati Bapat Marg, Lower Parel, Mumbai, Maharashtra, Pin Code – 400013, Phone no.: 022 - 6649 6100<br/> E-mail: <a href="mailto:customerservice@axismf.com">customerservice@axismf.com</a></p>   |
| <b>Unitholders' Information</b>                      | <p><b>Account Statement</b></p> <p>The AMC shall send an allotment confirmation specifying the units allotted by way of email and/or SMS within 5 working days of receipt of valid application/transaction to the Unit holders registered e-mail address and/ or mobile number (whether units are held in demat mode or in account statement form).</p> <p>A Consolidated Account Statement (CAS) detailing all the transactions across all mutual funds (including transaction charges paid to the distributor) and holding at the end of the month shall be sent to the Unit holders in whose folio(s) transaction(s) have taken place during the month by mail or email on or before 15th of the succeeding month.</p> <p>Half-yearly CAS shall be issued at the end of every six months (i.e. September/ March) on or before 21st day of succeeding month, to all investors providing the prescribed details across all schemes of mutual funds and securities held in dematerialized form across demat accounts, if applicable</p> <p>For further details, refer SAI.</p> <p><b>Annual Report:</b> The Scheme annual report or an abridged summary thereof shall be mailed (emailed, where e mail id is provided unless otherwise required) to all Unit holders not later than four months (or such other period as may be specified by SEBI from time to time) from the date of closure of the relevant accounting year (i.e. 31st March each year) and full annual report shall be available for inspection at the Head Office of the Mutual Fund and a copy shall be made available to the Unit holders on request on payment of nominal fees, if any. Scheme wise annual report shall also be displayed on the website of the Mutual Fund (<a href="http://www.axismf.com">www.axismf.com</a>) and on the website of Association of Mutual Funds in India (<a href="http://www.amfiindia.com">www.amfiindia.com</a>).</p> <p><b>Fortnightly Disclosures :</b> The AMC will disclose the portfolio of the Debt Schemes (along with ISIN) on fortnightly basis on the website of the Mutual Fund and AMFI within 5 days of every fortnight in a user-friendly and downloadable spreadsheet format.</p> <p><b>Monthly/Half yearly Portfolio :</b> The AMC will disclose the portfolio of the Scheme (alongwith ISIN) on Monthly and half yearly on the website of the Mutual Fund and AMFI within 10 days from the close of each month and each half year (i.e. 31st March and 30th September) respectively in a user-friendly and downloadable spreadsheet format. Further, AMC shall publish an advertisement in an all India edition of one national English daily newspaper and one Hindi newspaper, every half year, disclosing the hosting of the half-yearly statement of its schemes' portfolio on the website of the Mutual Fund and AMFI and the modes through which unitholder(s) can submit a request for a physical or electronic copy of the statement of scheme portfolio.</p> <p><b>For more details, kindly refer SID &amp; SAI.</b></p> |
| <b>Tracking Error and Tracking Difference</b>        | <p><b>Tracking error :</b> Tracking Error is defined as the standard deviation of the difference between daily returns of the underlying index and the NAV of the Scheme.</p> <p><b>Tracking difference :</b> Tracking difference i.e. the annualized difference of daily returns between the index and the NAV of the Scheme shall be disclosed on the website of the AMC and AMFI, on a monthly basis, for tenures 1 year, 3 years, 5 years, 10 years and since the date of allotment of units..</p> <p>The annualized tracking difference averaged over one year period shall not exceed 1.25%. In case the average annualized tracking difference over one year period for the Scheme is higher than 1.25%, the same shall be brought to the notice of trustees with corrective actions taken by the AMC, if any.</p>   |

**CRISIL Limited Indices Disclaimer:** Each CRISIL Index (including, for the avoidance of doubt, its values and constituents) is the sole property of CRISIL Limited (CRISIL). No CRISIL Index may be copied, retransmitted or redistributed in any manner. While CRISIL uses reasonable care in computing the CRISIL Indices and bases its calculation on data that it considers reliable, CRISIL does not warrant that any CRISIL Index is error-free, complete, adequate or without faults. Anyone accessing and/or using any part of the CRISIL Indices does so subject to the condition that: (a) CRISIL is not responsible for any errors, omissions or faults with respect to any CRISIL Index or for the results obtained from the use of any CRISIL Index; (b) CRISIL does not accept any liability (and expressly excludes all liability) arising from or relating to their use of any part of CRISIL Indices

**Email ID & Mobile Number:** Investors should provide their own email address and mobile number to enable Axis AMC for speed and ease of communication in a convenient and cost-effective manner, and to help prevent fraudulent transactions.

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

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

**Mutual Fund investments are subject to market risks, read all scheme related documents carefully.**



# INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

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

## 1. GENERAL INSTRUCTIONS

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

## 2. DIRECT INVESTMENTS

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

Note: Direct Plan investment not applicable for ETF schemes.

## 3. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIN)

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

## 4. DECLARATION AND SIGNATURES

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

## 5. PAYMENTS

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

## 6. BANK DETAILS

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

Option to register multiple bank accounts

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

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

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

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

## 7. THIRD PARTY PAYMENTS

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

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

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

- In case of payments from a joint bank account, one of the joint holders of the bank account must be the first account holder under the investment application.
- The Asset Management Company shall not accept subscriptions with Third Party payments except in the following situations:
  - Where payment is made by parents/grand parents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding ₹ 50,000 (each regular purchase or per SIP installment). However this restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio.
  - Where payment is made by an employer on behalf of an employee under Systematic Investment Plans through payroll deductions.
  - Custodian on behalf of an FII or a client.

Documents to be submitted for exceptional cases

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

## 8. KYC

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

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

- SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries, new investors are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are available on our website [www.axismf.com](http://www.axismf.com).
- The Mutual Fund shall perform the initial KYC of its new investors and shall also accept the details change form for investors who have done their KYC prior to 31st Dec 11.
- It is mandatory to carry out In-Person Verification (IPV) for processing the KYC of its new / existing investors from January 1, 2012.
- Once the KYC and IPV-In Person Verification has been done with any SEBI registered intermediary, the investor need not undergo the same process again with any another intermediary including mutual funds. However, the Mutual Fund reserves the right to carry out fresh KYC/additional KYC of the investor.
- Existing KYC compliant investors of the Mutual Fund can continue to invest as per the current practice.
- Non-individual investors will have to do a fresh KYC due to significant changes in KYC requirements.
- In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/network and Politically Exposed Person (PEP)\* status mentioned under section 2 & 3 which was forming part of uniform KYC form will now be captured in the application form of the Fund. Also, the detail of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc., (applicable for first/sole applicant) is required to be provided as part of Client Due Diligence (CDD) Process of the Fund.

The said details are mandatory for both Individual and Non Individual applicants. \*PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments,

## INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM (CONTD....)

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

8. In accordance with AMFI circular - 35P/MEM-COR/54/2019-20 dated February 28, 2020, it is mandatory, KYC to be verified by KYC Registration Agency before processing redemption. Further, investor requested to complete KYC process before placing redemption request.

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

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

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

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

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

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

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

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

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

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

### 9. ULTIMATE BENEFICIAL OWNERS(S)

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

### 10. PERMANENT ACCOUNT NUMBER (PAN)

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

PAN Exempt Investments

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

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

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

### 11. APPLICATIONS ON BEHALF OF MINORS

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

- The Minor shall be the first and sole holder in the account.
- No Joint holders are allowed. In case an investor provides joint holder details, these shall be ignored.
- Guardian should be either a natural guardian (i.e. father or mother) or a court appointed legal guardian.
- Guardian should mention the relationship with Minor and date of birth of the Minor on the application form.
- A document evidencing the relationship and date of birth of the Minor should be submitted along with the application form. Photo copy of any one of the following documents can be submitted a) Birth certificate of the minor or b) school leaving certificate / mark sheet of Higher Secondary board of respective states, ICSE, CBSE etc. c) Passport of the minor d) Any other suitable proof evidencing the relationship.
- Where the guardian is not a natural guardian (father or mother) and is a court appointed legal guardian, suitable supporting documentary evidence should be provided.
- If the mandatory details and/or documents are not provided, the application is liable to be rejected without any information to the applicant.

### 12. APPLICATIONS UNDER POWER OF ATTORNEY

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

### 13. SYSTEMATIC INVESTMENT PLAN

- A minimum gap of 21 days and not more than 90 days needs to be maintained between date of Application & SIP start date.
- Investor shall have the option of choosing any date of the month as the SIP date except the dates 29th, 30th and 31st. If SIP debit date is not mentioned default date would be considered as 7th of every month. If selected 29th, 30th or 31st, default SIP date would be considered as 28th of every month.
- All SIP installment payment instructions must be of the same amount and the same monthly debit date (excluding first cheque).
- For daily, weekly and monthly frequency the SIP will be discontinued automatically if payment is not received for three successive installments. In case of yearly frequency, the SIP registration will stand automatically cancelled, in case of 2 consecutive failed debits.
- Investors can discontinue a SIP at any time by sending a written request to any Official Point of Acceptance or to the registrar KFin Technologies Limited. Notice of such discontinuance should be received at least 10 days prior to the next due date of the installment / debit.
- In case payment is made using "At Par" cheques, investors must mention the MICR number of his bank branch. Where he holds the bank account.
- An investor will not hold Axis Mutual Fund, its registrars and / or service providers responsible if a transaction is delayed or not effected, or the investor bank account is debited in advance or after the specific SIP date because of the various clearing cycles of RBI's Electronic Clearing Facility (ECS) / Bank holiday. Axis Mutual Fund, its registrars and other service providers shall not be held responsible or liable for damages / compensation / loss incurred by the investor as a result of using the SIP or ECS/ Auto debt facility.

- h. Please refer below table for minimum installments:

|  | Daily/Weekly/Monthly |           | Yearly  |           |        |           |
|--|----------------------|-----------|---------|-----------|--------|-----------|
|  | Min. ₹               | Min Inst. | Min. ₹  | Min Inst. |        |           |
| All schemes, except ETFs & schemes mentioned in tables below.  | 100                  | 6         | 12000   | 3         |        |           |
|  | Daily/Weekly         |           | Monthly |           | Yearly |           |
|  | Min. ₹               | Min Inst. | Min. ₹  | Min Inst. | Min. ₹ | Min Inst. |
| Axis Overnight Fund & Axis Liquid Fund   | 1000                 | 6         | NA      | NA        | NA     | NA        |
| Axis ELSS Tax Saver Fund*  | NA                   | NA        | 500     | 6         | 6000   | 3         |
| Axis Banking & PSU Debt Fund, Axis Childrens Gift Fund, Axis Credit Risk Fund, Axis Dynamic Bond Fund, Axis Equity ETFs FoF, Axis Floater Fund, Axis Gilt Fund, Axis Money Market Fund, Axis Retirement Savings Fund, Axis Short Term Fund, Axis Silver Fund Of Fund, Axis Treasury Advantage Fund, Axis Ultra Short Term Fund | 100                  | 6         | 1000    | 6         | 12000  | 3         |

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|   |    |    |      |   |       |    |
|---|----|----|------|---|-------|----|
| Axis Nifty AAA Bond Plus<br>SDL Apr 2026 50:50 ETF<br>FoF, Axis CRISIL IBX<br>50:50 Gilt Plus SDL<br>September 2027 Index<br>Fund, Axis CRISIL IBX<br>50:50 Gilt Plus SDL June<br>2028 Index Fund &<br>Axis Nifty SDL September<br>2026 Debt Index Fund<br>AXIS CRISIL-IBX AAA<br>NBFC INDEX - JUN 2027<br>FUND | NA | NA | 1000 | 6 | NA    | NA |
| Axis CRISIL IBX SDL May<br>2027 Index Fund, Axis<br>CRISIL IBX 70:30 CPSE<br>Plus SDL April 2025<br>Index Fund & Axis Long<br>Duration Fund   | NA | NA | 1000 | 6 | 12000 | 3  |

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

For Axis ELSS Tax Saver Fund Minimum amount is as per above table and thereafter in multiple of ₹500\*.

- i. If the period is not specified by the unit holder on the SIP section then the SIP enrollment will be consider from the upcoming month (Gap of 21 days) till 40 years.
- j. If no amount is mentioned minimum scheme amount would be considered. Please refer KIM & SID of the respective scheme.

### Change of Debit Bank Details (SIP Auto Debit Form)

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

### 14. NATIONAL AUTOMATED CLEARING HOUSE (NACH)

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

National Payments Corporation of India (NPCI)

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

### 15. AUTO DEBIT PARTNERING BANKS

Partnering Banks: Axis Bank, Bank of India, Punjab National Bank (16 digit), State Bank of India & Union Bank Of India.

### 16. NRIs, FIIs

#### a. Repatriation basis

- I. NRIs: Payment may be made either by inward remittance through normal banking channels, or from funds held in a Non-Resident (External) Rupee Account (NRE) / Foreign Currency (Non-Resident) Account (FCNR). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts, an account debit certificate from the bank issuing the draft confirming the debit will need to be enclosed.
- II. FIIs can pay their subscription either by inward remittance through normal banking channels or from funds held in Foreign Currency Account or Non-Resident Rupee Account maintained by the FII with a designated branch of an authorised dealer.
- III. Axis Mutual Fund has decided to restrict subscriptions from U.S. Persons (including NRIs and all persons residing in U.S, U.S Corporations or other entities organized under the laws of U.S) and Residents of Canada in the Schemes of Axis Mutual Fund.

#### b. Non-repatriation basis

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

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

### 17. ELECTRONIC SERVICES

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

- a. KFINKART: Transactions through electronic platform(s) of KFin Technologies Limited (effective from January 2, 2017): Investors will be allowed to transact through <https://mfs.kfintech.com/investor/>, an electronic platform provided by Kfin Technologies Limited, Registrar & Transfer Agent, in Schemes of Axis Mutual Fund ('Fund') (except ETF). The facility will also be available through mobile application i.e. 'KFINKART'.
- b. Online Schedule Transaction Facility ('the OST facility'/'the Facility'):  
The OST facility shall enable Investors to schedule subscription / redemption / switch transaction(s) on specified date for specified amount/ units by giving online instruction.

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

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

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

- c. Email facility - Applicants who provide their email address will receive communication by email. In case an investor wishes to receive a hard copy of an account statement or other document, he/she is requested to submit a request at [customerservice@axismf.com](mailto:customerservice@axismf.com) or call us on Additional Contact Number: 8108622211 From Monday to Saturday - 9:00 AM to 6:30 PM.
- d. SMS alerts facility - Applicants who wish to receive transaction alerts on their mobile phone need to provide their mobile no.
- e. Online investment facility - New or existing investors can invest with us online at [www.axismf.com](http://www.axismf.com). To avail of this facility, applicants are requested to provide both their mobile no. and email address in the spaces provided.
- f. In case mobile no. & email ID is not provided on the application form then it will be capture as per KYC record.
- g. Investors should provide their own email address and mobile number to enable Axis AMC for speed and ease of communication in a convenient and cost-effective manner, and to help prevent fraudulent transactions.

### 18. NOMINATION

- a. Nomination is mandatory for all the folios/accounts, where the mode of holding is single. New subscriptions received from individuals where the mode of holding is single without nomination will be rejected.
- b. The nomination can be made only by individuals holding units on their own behalf singly or jointly. Non-Individuals including Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders must sign against the nomination.
- c. Nomination is not allowed for folios/accounts opened in the name of minors.
- d. A minor can be nominated against a folio/account. In such a case, the name and address of the Guardian of the minor nominee must be provided. If no Guardian name is provided, the nomination of the minor will be invalid. The Guardian of the minor nominee should be a person other than the holder of that folio/account. Nomination can also be in favour of the Central Govt, State Govt, a local authority, any person designated by virtue of his office or a religious charitable trust.
- e. The Nominee cannot be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of HUF or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- f. Nomination stands rescinded upon transfer of units or cancellation of nomination.
- g. The nomination facility extended under the Scheme is subject to existing laws. The AMC shall, subject to production of such evidence which in their opinion is sufficient, proceed to effect the payment / transfer to the Nominee(s) in the event of demise of the unit holder. Transfer of units / payment to the nominee(s) of the sums shall discharge Axis Mutual Fund / Axis AMC of all liability towards the estate of the deceased unit holder and his / her / their successors / legal heirs.
- h. Cancellation of nomination can only be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination. (Please note that if one of the Joint Holders die, the other surviving holders cannot cancel or change the nomination.)
- i. Nomination shall be registered only if the form is filled in completely.
- j. Nomination will be updated at folio/account level and not at scheme level.
- k. Nomination can be made for maximum of 3 nominees. In case of multiple nominees, the percentage of allocation / share in favour of each of the nominees should be indicated against their name and such allocation / share should be in



## INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM (CONTD....)

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

whole numbers without any decimals making a total of 100 percent. In the event of unit holders not indicating the percentage of allocation / share for each of the nominees, the Mutual Fund / the AMC, by invoking default option shall settle the claim equally amongst all the nominees.

- l. The investor(s) who nominate is / are deemed to have read and understood the provisions of Regulation 29 A of SEBI (Mutual Funds) Regulations, 1996, read with SEBI circular dated Feb. 16, 2004 and / or any amendments thereto or any rules / regulations framed in pursuance thereof governing the nomination facility and agree/s to be bound by the same.
- m. Fresh nominee registrations will override older nominations under the folio.
- n. In case an investor does not wish to nominate for a specific folio / account, he/she should strike off the nomination fields and mention "Nomination not required".
- o. Even those investors who do not wish to nominate must sign separately confirming their non-intention to nominate.
- p. In case of existing Folio(s) where individual unit holder(s) holding mutual fund units either solely or jointly who have not registered nomination, the folio(s) shall be frozen for debit(s) after March 31, 2023.
- q. In case of investors subscribing to mutual fund units on or after October 1, 2022 under new folios, applications where details of nomination/intention to opt out of nomination, has not been provided, are liable to be rejected.

### 19. DEMAT ACCOUNT DETAILS

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

Please attach Client Master List along with application form.

20. Non-profit organization" means any entity or organisation, constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), that is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

### 21. MULTIPLE INVESTMENTS

1. Investor can make purchases in up to three schemes within the same Folio by making a single consolidated payment for the investments.
2. Multiple Investments facility is not available for Axis Children's Gift Fund, Axis Liquid Fund, Axis Overnight Fund, Axis ETFs any closed ended schemes, and during NFO period.
3. Cheque/DD/ Debit mandate should be drawn for Total Amount of investment in all three schemes.
4. The Cheque/DD should be drawn favouring "Axis MF Multiple Schemes".

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

### 22. FOREIGN ACCOUNT TAX COMPLIANCE (FATCA)

**FATCA & CRS TERMS & CONDITIONS :** Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which Rules require Indian financial institutions such as Axis MF to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our investors and counter parties. In relevant cases, information will have to be reported to tax authorities / appointed agencies.

Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

The onus to provide accurate, adequate and timely inputs in this regard would be that of the investor or counterparty. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that Axis MF will be unable to provide advice to you about any tax status or FATCA/CRS classification relevant to your account. It is your responsibility to ensure that you record your correct tax status / FATCA/ CRS classification. You may seek advice from your tax advisor in this regard.

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

#### FATCA & CRS INSTRUCTIONS:

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

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

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

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

### 23. Submission of Aadhar Number

Pursuant to requirement under Prevention of Money Laundering (Maintenance of Records) Rules, 2005 as amended from time to time, proof of possession of Aadhar can be accepted as a valid document for proof of address or proof of identity of investors, provided the investor redact or blackout his Aadhar number while submitting the applications for investments.

The aforesaid guidelines will be subject to change as per the directives issued by the concerned regulatory/ government authority from time to time.

For further details refer to SAI.

### 24. E-mail Communication

Investors should ensure that the email id provided is that of First /Sole holder or of their Family member. Family means spouse, dependent children or dependent parents. This email address and mobile no. provided shall be registered in the folio

for all communications. In case, this section is left blank, the email id and mobile no. of the First / Sole Holder available in the KYC records shall be registered in the folio.

### 25. Declaration for Creating New Folio

If Name of the holders, Pan Proof, Bank Mandate, Address, Mode of holding & Nominee are in the same order the transaction will process under existing folio.

### 26. Legal Entity Identifier no updation

RBI vide circular dated January 2021 on "Introduction of Legal Entity Identifier for Large Value Transactions in Centralized Payment Systems" decided to introduce the LEI system for all payment transactions of value INR 50 crore and above for Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT) from April 1, 2021. In view of the same it will be mandatory to include 20-digit Legal Entity Identifier (LEI) information while initiating any transaction of value INR 50 crore and above by entities (non-Individual) for purchase and redemption transaction.

## INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM (CONTD....)

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

### 27. Instructions for SIP & TOP-UP

- Multiple SIP registration facility is not available for Axis Children's Gift Fund, ETF schemes and during NFO.
- Investors are required to submit Form along with a photo copy/cancelled cheque of Debit Bank Account at least 21 days before the first SIP Installment date.
- \*Investor shall have the option of choosing any date of the month as the SIP date except the dates 29th, 30th and 31st. If SIP date is not mentioned, default date would be considered as 7th of every month. If the SIP date falls on a non-business day or a bank holiday, the SIP debit will be processed on the following business day. \*\* Will be triggered and processed only on Business Days. # will be triggered and processed on the day opted by the investor. If the day opted falls on non-business day, it will be triggered and processed on the next business day.
- Please refer below table for minimum installments:

|   | **Daily/#Weekly/<br>*Monthly |           | *Yearly  |           |         |           |
|---|------------------------------|-----------|----------|-----------|---------|-----------|
|   | Min. ₹                       | Min Inst. | Min. ₹   | Min Inst. | Min. ₹  | Min Inst. |
| All schemes, except ETFs & schemes mentioned in tables below.   | 100                          | 6         | 12000    | 3         |         |           |
|   | **Daily/#Weekly              |           | *Monthly |           | *Yearly |           |
|   | Min. ₹                       | Min Inst. | Min. ₹   | Min Inst. | Min. ₹  | Min Inst. |
| Axis Overnight Fund & Axis Liquid Fund  | 1000                         | 6         | NA       | NA        | NA      | NA        |
| Axis ELSS Tax Saver Fund*   | NA                           | NA        | 500      | 6         | 6000    | 3         |
| Axis Banking & PSU Debt Fund, Axis Children's Gift Fund, Axis Credit Risk Fund, Axis Dynamic Bond Fund, Axis Equity ETFs FoF, Axis Floater Fund, Axis Gilt Fund, Axis Money Market Fund, Axis Retirement Savings Fund, Axis Short Term Fund, Axis Silver Fund Of Fund, Axis Treasury Advantage Fund, Axis Ultra Short Term Fund | 100                          | 6         | 1000     | 6         | 12000   | 3         |
| Axis Nifty AAA Bond Plus SDL Apr 2026 50:50 ETF FoF, Axis CRISIL IBX 50:50 Gilt Plus SDL September 2027 Index Fund, Axis CRISIL IBX 50:50 Gilt Plus SDL June 2028 Index Fund & Axis Nifty SDL September 2026 Debt Index Fund<br>AXIS CRISIL-IBX AAA NBFC INDEX - JUN 2027 FUND  | NA                           | NA        | 1000     | 6         | NA      | NA        |
| Axis CRISIL IBX SDL May 2027 Index Fund, Axis CRISIL IBX 70:30 CPSE Plus SDL April 2025 Index Fund & Axis Long Duration Fund  | NA                           | NA        | 1000     | 6         | 12000   | 3         |

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

For Axis ELSS Tax Saver Fund Minimum amount is as per above table and thereafter in multiple of ₹500\*.

OTM end date cannot be more than 40 years from the date of the mandate.

- If no amount is mentioned minimum SIP installment amount would be considered.

- For details about the Scheme and its facility please refer the SID, SAI & KIM of the respective schemes / Addendum issued from time to time carefully before investing.
- For daily, weekly and monthly frequency the SIP will be discontinued automatically if payment is not received for three successive installments. In case of Yearly frequency, the SIP registration will stand automatically cancelled, in case of 2 consecutive failed debits.
- Investors can discontinue a SIP at any time by sending a written request to any Official Point of Acceptance or to the registrar KFin Technologies Limited. Notice of such discontinuance should be received at least 10 days prior to the due date of the next installment / debit.
- Mandate will be processed through NACH platform offered by NPCI.
- Investor will not hold Axis Mutual Fund, its registrars and other service providers responsible 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 various clearing cycles of NACH Debit/ Local/Bank holiday. Axis Mutual Fund, its registrars and other service providers shall not be held responsible or liable for damages / compensation / loss incurred by the investor as a result of using the SIP or ECS / Auto debt facility. The investor assumes the entire risk of using this facility and takes full responsibility.
- Investor can change bank details for SIP by submitting a "CHANGE OF BANK MANDATE - FOR SIP" form available on the website or at any Investor Service Centre along with cancelled cheque of the new bank with the investor's name printed on it.
- TOP-UP Facility: Under this facility the Investor can increase the SIP installment at pre-defined intervals by a fixed amount or any time as per the request. This facility is available for individual investors only. For availing the said facilities, investors are required to note the following:
  - Investor willing to register TOP-UP should provide the TOP-UP details along with the SIP enrolment details.
  - The minimum amount for Axis TOP-UP facility is ₹ 500/- and in multiples of ₹ 1/- for all schemes; except Axis ELSS Tax Saver Fund the minimum amount is ₹ 500 and in multiples of ₹ 500 thereafter.
  - If no amount is mentioned as TOP-UP amount under frequency yearly and half-yearly, minimum TOP-UP amount would be considered, i.e., ₹ 500/- for all schemes.
  - TOP-UP frequencies available are Half-Yearly/Yearly/Dynamic requested intervals.
  - In case TOP-UP frequency is not indicated, it will be considered as Yearly by Default.
  - The date for Axis Mutual Fund TOP-UP Facility will correspond to the registered SIP.
  - TOP-UP will continue till the End of the SIP tenure by default.
  - In case an investor wishes to change the Top-Up amount, he/she has to provide a cancellation for the existing SIP and register fresh SIP.
  - Only TOP-UP cannot be discontinued anywhere during the SIP tenure.
  - In case of Dynamic Top up option, any changes in the amount can be made only after completion of 6 months from the date of the first installment and minimum gap between two top up requests should be 3 months and amount specified in last request shall be continued till the End of the SIP tenure.
  - Please see the illustration below to know how to calculate SIP Top-Up amount:
    - SIP Starts on 07/May/2016
    - SIP ends on 07/12/2099
    - SIP amount is ₹1000
    - Top-Up amount is ₹ 500
    - Top-Up Frequency is Half-yearly

| Top-Up date | SIP Amount (₹) | Top-Up Amount (₹) | New SIP Amount (₹) |
|-------------|----------------|-------------------|--------------------|
| 7-Nov-2016  | 1000           | 500               | 1500               |
| 7-May-2017  | 1500           | 500               | 2000               |
| 7-Nov-2017  | 2000           | 500               | 2500               |
| 7-May-2018  | 2500           | 500               | 3000               |

- If Investor do not wish to opt for One Time Registration (OTM) Mandate, they can submit SIP NACH Registration Form available on website [www.axismf.com](http://www.axismf.com) with SIP Registration Form.

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Axis Asset Management Company Limited (Investment Manager)

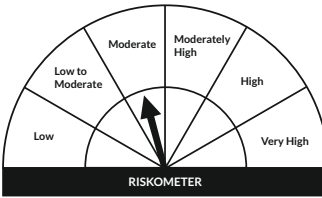
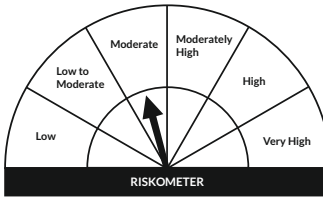
## APPLICATION FORM

# AXIS CRISIL-IBX AAA NBFC INDEX – JUN 2027 FUND

(An open-ended Target Maturity Index Fund investing in constituents of CRISIL-IBX AAA NBFC Index – Jun 2027.

A moderate interest rate risk and relatively low credit risk.)

Benchmark: CRISIL-IBX AAA NBFC Index – Jun 2027

| Product Labelling  | Product Riskometer   | Benchmark Riskometer  | Potential Risk Class Matrix   |                                  |                          |                    |                           |                          |  |  |  |                     |      |  |  |                             |  |  |  |
|--|--|---|---|----------------------------------|--------------------------|--------------------|---------------------------|--------------------------|--|--|--|---------------------|------|--|--|-----------------------------|--|--|--|
| <p>This product is suitable for investors who are seeking*</p> <ul style="list-style-type: none"> <li>Income over the target maturity period.</li> <li>An open ended target maturity index fund tracking CRISIL-IBX AAA NBFC Index – Jun 2027, subject to tracking error.</li> </ul> <p>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</p> |  <p><b>RISKOMETER</b></p> <p>Investors understand that their principal will be at moderate risk</p> |  <p><b>RISKOMETER</b></p> <p>CRISIL-IBX AAA NBFC Index – Jun 2027</p> | <table border="1"> <thead> <tr> <th data-bbox="1158 485 1257 541">Credit Risk →<br/>Interest Rate ↓</th> <th data-bbox="1257 485 1334 541">Relatively Low (Class A)</th> <th data-bbox="1334 485 1410 541">Moderate (Class B)</th> <th data-bbox="1410 485 1487 541">Relatively High (Class C)</th> </tr> </thead> <tbody> <tr> <td data-bbox="1158 541 1257 598">Relatively Low (Class I)</td> <td></td> <td></td> <td></td> </tr> <tr> <td data-bbox="1158 598 1257 655">Moderate (Class II)</td> <td style="text-align: center;">A-II</td> <td></td> <td></td> </tr> <tr> <td data-bbox="1158 655 1257 711">Relatively High (Class III)</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> | Credit Risk →<br>Interest Rate ↓ | Relatively Low (Class A) | Moderate (Class B) | Relatively High (Class C) | Relatively Low (Class I) |  |  |  | Moderate (Class II) | A-II |  |  | Relatively High (Class III) |  |  |  |
| Credit Risk →<br>Interest Rate ↓   | Relatively Low (Class A)   | Moderate (Class B)  | Relatively High (Class C)   |                                  |                          |                    |                           |                          |  |  |  |                     |      |  |  |                             |  |  |  |
| Relatively Low (Class I)   |  |   |   |                                  |                          |                    |                           |                          |  |  |  |                     |      |  |  |                             |  |  |  |
| Moderate (Class II)  | A-II   |   |   |                                  |                          |                    |                           |                          |  |  |  |                     |      |  |  |                             |  |  |  |
| Relatively High (Class III)  |  |   |   |                                  |                          |                    |                           |                          |  |  |  |                     |      |  |  |                             |  |  |  |

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



**APPLICATION FORM FOR**
**APPLICATION NO.**
**AXIS CRISIL-IBX AAA NBFC INDEX - JUN 2027 FUND**

(An open-ended Target Maturity Index Fund investing in constituents of CRISIL-IBX AAA NBFC Index - Jun 2027. A moderate interest rate risk and relatively low credit risk.)

**NFO OPENS : SEPTEMBER 13, 2024 AND NFO CLOSES : SEPTEMBER 23, 2024**
**FOR FIRST TIME INVESTORS FOR LUMP SUM INVESTMENTS / SIP INVESTMENTS.**
**(PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM. ALL SECTIONS TO BE COMPLETED IN ENGLISH IN BLACK/BLUE COLOURED INK & IN BLOCK LETTERS)**

| Distributor ARN | SUB-Distributor ARN | Internal SUB-Broker/Sol ID | EUIN | Employee Code | RIA CODE <sup>^</sup> | PMR (Portfolio Manager's Registration) Number <sup>^^</sup> | Serial No., Date & Time Stamp |
|-----------------|---------------------|----------------------------|------|---------------|-----------------------|---|-------------------------------|
|                 |                     |                            |      |               |                       |   |                               |

Upfront commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor. <sup>^</sup>I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Investment Adviser. <sup>^^</sup>I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Portfolio Manager.

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

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

**Unit Holding Option**
 Physical Mode  Demat Mode (in case of Demat, please fill sec 7)

**01 MY DETAILS** (To be filled in Block Letters. Please provide the following details in full) (In case of investment "On behalf of minor", Please refer instruction No. 11)

Existing folio number   I/ We want to create new Folio (Instruction No. 25)

My Name (Should match with PAN Card)  PAN/PEKRN (1st Applicant)  KYC

My Guardian's Name (if minor)/POA/Contact Person (For Non-individuals)  PAN/PEKRN (Guardian/POA)  KYC

On behalf of Minor (\*Attach Mandatory Documents as per instructions) Date of Birth Minor's   Date of Birth Proof attached\*

Guardian named is  Father  Mother  Court Appointed  Guardian named is

**02 JOINT APPLICANTS (IF ANY) DETAILS**

Mode of Operation  Single  Joint  Either or Survivor(s) [Default] (Joint applicant details not to be filled in case of minor investments).

2nd Applicant Name (Should match with PAN Card)  PAN/PEKRN (Second applicant)  KYC

3rd Applicant Name (Should match with PAN Card)  PAN/PEKRN (Third applicant)  KYC

MFD / EUIN holder/ sub-distributor is not related to the 1st holder. If yes, declare that joint holders details provided in this form belongs to (tick any one):  Spouse  Children  Siblings  Parents

**03 MY CONTACT DETAILS** (As per KYC records. To be filled in Block Letters) (For electronic communication, Please refer instruction No. 17)

Address Type (Mandatory)  Residential & Business  Residential  Business  Registered Office

Address

City  State  Pin Code

Add overseas address (Mandatory for NRI / FII Applicants)

City  Country  Pin Code

Email ID and Mobile number should pertain to First Holder only.

Mobile No.  Tel No.  Email ID (CAPITAL letters only)

I declare that Email address provided in this form belongs to (tick any one):  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian  PMS and approve for usage of these contact details for any communication with Axis Mutual Fund.

I declare that Mobile Number provided in this form belongs to (tick any one):  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian  PMS and approve for usage of these contact details for any communication with Axis Mutual Fund.

If above any option is not ticked (✓) or selected then (Self) option is considered as a default.

I wish to receive Scheme Account Statement along with Annual Report & Abridged Summary:  Online (Preferred & Default)  Physical Copy (Choose online mode to help us save paper & contribute towards a greener & cleaner environment.)

**04 BANK ACCOUNT DETAILS** (Avail Multiple Bank Registration Facility) (Please note that as per SEBI Regulations it is mandatory for investors to provide their bank account details. Refer Instruction No. 6)

My Bank Name

Bank A/C No.  A/C Type  Savings  Current  NRE  NRO  FCNR  Others

Branch Address

City  State  Pin Code

IFSC code: (11 digit)  MICR code (9 digit)  (This is a 9 digit number next to your cheque number)

LEI Code  Valid up to  Note: LEI code mandatory to provide if transaction value is equal to or exceeds ₹ 50 crore limit, with LEI proof.

(Cheque/DD should be in favour of "Scheme Name". Default plan/Option will be applied in case of no information, ambiguity or discrepancy). If the investment is in multiple schemes. "The Cheque/ DD should be drawn favouring "Axis MF Multiple Schemes"

| Full Scheme/Plan/Option   | Amount/Each SIP Amount           | SIP Date  | Frequency                                   | SIP Period   | TOP-UP Facility<br>(Optional) Only available for Monthly SIP  |
|---|----------------------------------|---|---|--|---|
| <input type="checkbox"/> LUMPSUM <input type="checkbox"/> SIP<br>Plan <input type="checkbox"/> Regular <input type="checkbox"/> Direct<br>Scheme Name _____<br>Option _____ | ₹ _____<br>Less DD charges _____ | DD<br>(If left blank 7 <sup>th</sup> will be considered as the default date) Any date between 1 <sup>st</sup> to 28 <sup>th</sup> | <input checked="" type="checkbox"/> Monthly | Start Date: MMYYYY<br>End Date: MMYYYY<br>Maximum Duration of 40 years | Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly<br>Amount: ₹ _____<br>_____<br>_____<br><input type="checkbox"/> Dynamic TOP-UP |
| <input type="checkbox"/> LUMPSUM <input type="checkbox"/> SIP<br>Plan <input type="checkbox"/> Regular <input type="checkbox"/> Direct<br>Scheme Name _____<br>Option _____ | ₹ _____<br>Less DD charges _____ | DD<br>(If left blank 7 <sup>th</sup> will be considered as the default date) Any date between 1 <sup>st</sup> to 28 <sup>th</sup> | <input checked="" type="checkbox"/> Monthly | Start Date: MMYYYY<br>End Date: MMYYYY<br>Maximum Duration of 40 years | Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly<br>Amount: ₹ _____<br>_____<br>_____<br><input type="checkbox"/> Dynamic TOP-UP |
| <input type="checkbox"/> LUMPSUM <input type="checkbox"/> SIP<br>Plan <input type="checkbox"/> Regular <input type="checkbox"/> Direct<br>Scheme Name _____<br>Option _____ | ₹ _____<br>Less DD charges _____ | DD<br>(If left blank 7 <sup>th</sup> will be considered as the default date) Any date between 1 <sup>st</sup> to 28 <sup>th</sup> | <input checked="" type="checkbox"/> Monthly | Start Date: MMYYYY<br>End Date: MMYYYY<br>Maximum Duration of 40 years | Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly<br>Amount: ₹ _____<br>_____<br>_____<br><input type="checkbox"/> Dynamic TOP-UP |

The minimum amount for Axis TOP-UP facility is ₹ 500/- and in multiples of ₹ 1/- for all schemes except Axis ELSS Tax Saver Fund the minimum amount is ₹ 500/- and in multiples of ₹ 500/- thereafter.

Payment through NACH (Attach NACH form)  OTM Reference No. \_\_\_\_\_ (if one time mandate are registered)  
**OR** Documents attached to avoid Third Party Payment Rejection, if applicable:  Bank Certificate, for DD  Third Party Declarations

**Payment Details**  
 First Cheque Date: DDMMYYYY Amount: \_\_\_\_\_ Cheque No. \_\_\_\_\_  
 Bank Name: \_\_\_\_\_ Account No. \_\_\_\_\_  
 IFSC Code: \_\_\_\_\_ MICR Code: \_\_\_\_\_  
 RTGS/ NEFT/ Funds Transfer: \_\_\_\_\_  If source of payment bank is same as above bank details tick here.

**ANNEXURE - A** **Format for Providing Nomination**

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

| Sr. No.   | Nomination can be made upto three nominees in the account.   | Details of 1st Nominee  | Details of 2nd Nominee  | Details of 3rd Nominee  |
|---|--|---|---|---|
| <b>Mandatory Details</b>  |  |   |   |   |
| 1.  | Name of the nominee(s) (Mr./Ms.)*  |   |   |   |
| 2.  | Share of each Nominee<br>Equally (If not equally, please specify percentage)   | _____%  | _____%  | _____%  |
| Any odd lot after division shall be transferred to the first nominee mentioned in the form. |  |   |   |   |
| 3.  | Relationship with the Applicant (If Any)   |   |   |   |
| 4.  | Minor Date of birth  |   |   |   |
| 5.  | Guardian name  |   |   |   |
| *Date of Birth and Name of Guardian to be provided in case of minor nominee(s)              |  |   |   |   |
| <b>Non Mandatory Details</b>  |  |   |   |   |
| 6.  | Address of Nominee(s)/ Guardian in case of Minor<br>City / Place / State / Country<br>PIN Code                             |   |   |   |
| 7.  | Mobile/Telephone no. of nominee(s) / Guardian in case of Minor   | Mobile No. _____<br>Tel. No. _____  | Mobile No. _____<br>Tel. No. _____  | Mobile No. _____<br>Tel. No. _____  |
| 8.  | Email ID of nominee(s)/ Guardian in case of Minor  |   |   |   |
| 9.  | Nominee/ Guardian (in case of Minor) Identification details (Please tick any one of following and provide details of same) | <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN<br><input type="checkbox"/> Aadhaar Card<br><input type="checkbox"/> Proof of Identity<br><input type="checkbox"/> Saving Bank A/c no.<br><input type="checkbox"/> Demat A/c ID | <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN<br><input type="checkbox"/> Aadhaar Card<br><input type="checkbox"/> Proof of Identity<br><input type="checkbox"/> Saving Bank A/c no.<br><input type="checkbox"/> Demat A/c ID | <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN<br><input type="checkbox"/> Aadhaar Card<br><input type="checkbox"/> Proof of Identity<br><input type="checkbox"/> Saving Bank A/c no.<br><input type="checkbox"/> Demat A/c ID |
| <b>*Name and Signature of Holder</b>  |  | First Unitholder Name   | Second Unitholder Name  | Third Unitholder Name   |
|   |  | First Unitholder Signature  | Second Unitholder Signature   | Third Unitholder Signature  |



**10** | **ADDITIONAL INFORMATION**

(For additional information Please refer instruction No. 8A)

| Applicant                    | KIN No. (If KYC done via CKYC) |  |  |  |  |  |  |  |  |  | DOB/DOI <sup>#</sup> |   |   |   | Gender |   |   |   |   |                               |                                 |
|------------------------------|--------------------------------|--|--|--|--|--|--|--|--|--|----------------------|---|---|---|--------|---|---|---|---|-------------------------------|---------------------------------|
| First Applicant              |                                |  |  |  |  |  |  |  |  |  |                      | D | D | M | M      | Y | Y | Y | Y | <input type="checkbox"/> Male | <input type="checkbox"/> Female |
| Second Applicant             |                                |  |  |  |  |  |  |  |  |  |                      | D | D | M | M      | Y | Y | Y | Y | <input type="checkbox"/> Male | <input type="checkbox"/> Female |
| Third Applicant              |                                |  |  |  |  |  |  |  |  |  |                      | D | D | M | M      | Y | Y | Y | Y | <input type="checkbox"/> Male | <input type="checkbox"/> Female |
| Guardian or POA <sup>^</sup> |                                |  |  |  |  |  |  |  |  |  |                      | D | D | M | M      | Y | Y | Y | Y | <input type="checkbox"/> Male | <input type="checkbox"/> Female |

<sup>#</sup>Date of Birth - Mandatory if CKYC ID mentioned. <sup>^</sup>G: Guardian; POA: Power Of Attorney DOB: Date of Birth and DOI: Date of Incorporation

| Details                    | Second Applicant | Third Applicant | G or POA |
|----------------------------|------------------|-----------------|----------|
| Mobile No.                 |                  |                 |          |
| Email Id.                  |                  |                 |          |
| Relationship with Investor |                  |                 |          |

I declare that **Email address** provided in this form belongs to (tick any one):  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian  PMS and approve for usage of these contact details for any communication with Axis Mutual Fund.

I declare that **Mobile Number** provided in this form belongs to (tick any one):  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  Guardian  PMS and approve for usage of these contact details for any communication with Axis Mutual Fund.

If above any option is not ticked (✓) or selected then (Self) option is considered as a default.

**11** | **FATCA AND CRS DETAILS**

For Individuals (Mandatory). Non Individual investors including HUF should mandatorily fill separate FATCA/CRS/UBO details form

(Including Sole Proprietor. Refer Instruction No. 22)

| Details   | Sole/ 1st Applicant                                      | 2nd Applicant  | 3rd Applicant  | Guardian/POA   |
|---|--|--|--|--|
| Place & Country of Birth                                |  |  |  |  |
| Nationality   |  |  |  |  |
| Are you a tax resident of any country other than India? | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |

**If Yes: Mandatory to enclose FATCA /CRS Annexure**

**12** | **DECLARATION AND SIGNATURE**

(For declaration and signature, please refer point number 4)

Having read and understood the content of the SID / KIM of the scheme and SAI of the Axis Mutual Fund (The Fund), I/we hereby apply for units of the scheme. I have read and understood the terms, conditions, details, rules and regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate source only and does not involve designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I/we have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I/We confirm that the funds invested in the Scheme, legally belongs to me/us. In event "Know Your Customer" process is not completed by me/us to the satisfaction of the Mutual Fund, (I/we hereby authorize the Mutual Fund, to redeem the funds invested in the Scheme, in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law.) The ARN holder has disclosed to me/us all the commissions (trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds amongst which the Scheme is being recommended to me/ us. I / we give my / our consent to collect personal data or information as prescribed in the privacy policy which is available on the website of the AMC / Fund. I/We hereby give consent to the Company or its Authorized Agents and third party service providers to use information/data provided by me to contact me through any channel of communication including but not limited to email, telephone, sms, etc. and further authorise the disclosure of the information contained herein to its affiliates/group companies or their Authorized Agents or Third Party Service Providers in order to provide information and updates to me on various financial and investment products and offering of other services. I/We agree that all personal or transactional related information collected/provided by me can be shared/transferred and disclosed with the above mentioned parties including with any regulatory, statutory or judicial authorities for compliance with any law or regulation in accordance with privacy policy as available at the website of the Company.

I/We confirm that I/We do not have any existing Micro SIP/Lumpsum investments which together with the current application will result in aggregate investments exceeding ₹ 50,000 in a year (Applicable for Micro investment only) with your fund house. For NRIs only - I / We confirm that I am/ we are Non Residents of Indian nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/ our Non Resident External / Non Resident Ordinary / FCNR account. I/We confirm that details provided by me/us are true and correct.

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

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

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

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.

You/ Sole Applicant /Guardian

Second Applicant

Third Applicant

Power of Attorney Holder

Date  Place

**13** | **QUICK CHECKLIST**

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



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



Scan the QR code to download the new AxisMF App





www.axismf.com  
https://www.axismf.com/corporate/Login.aspx



To stay up to date with your mutual fund investments, connect with us on our WhatsApp number. Sent us a 'Hi' on 7506771113 from your registered mobile number to have your queries answered.



Facebook.com/AxisMutualFund  
Twitter.com/AxisMutualFund  
LinkedIn.com/company/Axis-Mutual-Fund  
YouTube.com/AxisMutualFund



## APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM

### AXIS CRISIL-IBX AAA NBFC INDEX – JUN 2027 FUND

(An open-ended Target Maturity Index Fund investing in constituents of CRISIL-IBX AAA NBFC Index – Jun 2027. A moderate interest rate risk and relatively low credit risk.)

**NFO OPENS : SEPTEMBER 13, 2024 AND NFO CLOSURES : SEPTEMBER 23, 2024**

| BROKER/AGENT INFORMATION |                     |      |  | FOR OFFICE USE ONLY |                |                       |        |
|--------------------------|---------------------|------|--|---------------------|----------------|-----------------------|--------|
| Name and AMFI Regn No.   | SUB-Distributor ARN | EUIN | PMR (Portfolio Manager's Registration) Number ^^ | SCSB                | SCSB IFSC Code | Syndicate Member Code | SI No. |
|                          |                     |      |  |                     |                |                       |        |

Upfront commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor. ^I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Investment Adviser. ^^I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Portfolio Manager.

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

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

#### NAME OF FIRST APPLICANT (Name should be as available in Demat Account)

Mr. Ms. M/s.

Folio Number  (If you have an existing folio number, please mention the number here)

#### DEPOSITORY ACCOUNT DETAILS

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

Depository Participant Name

DP-ID  Beneficiary Account Number

#### PAN DETAILS (Permanent Account Number)

1st applicant  2nd applicant  3rd applicant

#### INVESTMENT DETAILS

| Scheme | Plan   | Option | Amount |
|--------|--|--------|--------|
|        | <input type="checkbox"/> Regular <input type="checkbox"/> Direct |        |        |

#### DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS

Bank Account Number  Bank Name

Branch Name where account is held

Total Amount to be blocked  In figures  in words

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

Contact Person (In case of non Individual Investor)

Address  City

State  Pincode  Landline No.

**ACKNOWLEDGMENT SLIP (to be filled in by the investor)**
**APPLICATION NO.**

**AXIS CRISIL-IBX AAA NBFC INDEX – JUN 2027 FUND** Date

Received from Mr / Ms / Mrs / M/s  an application for purchase of units

**AXIS CRISIL-IBX AAA NBFC INDEX – JUN 2027 FUND**

SCSB Account details: Account No.

Bank Name  Branch

Total Amount to be blocked  In figures  in words

Time of receipt

SCSB Stamp, Signature

## UNDERTAKING BY ASBA INVESTOR

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

## DECLARATION AND SIGNATURES

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

Signature of Bank Account Holders

## INSTRUCTIONS FOR FILLING ASBA APPLICATION FORM

### 1. MEANING OF ASBA

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

### 2. SELF CERTIFIED SYNDICATE BANK (SCSB)

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

### 3. ELIGIBILITY OF INVESTORS

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

### 4. ASBA FACILITY IN BRIEF

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

appropriate request to the Controlling Branch of the SCSB for unblocking the relevant bank accounts and for transferring the amount allocable to the successful ASBA Bidders to the

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

### 5. OBLIGATIONS OF THE AMC:

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

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

### 6. OTHER INFORMATION FOR ASBA INVESTORS:

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

Grounds for rejection of ASBA applications

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

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

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

|   |  |
|---|--|
| Name of the entity  |  |
| Type of address given at KRA  | <input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office   |
| "Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes" |  |
| Folio Number  | Folio Number   |
| PAN   | Date of incorporation  |
| City of incorporation   | Country of incorporation   |
| Entity Constitution Type (Please ü as appropriate)  | <input type="checkbox"/> Partnership Firm <input type="checkbox"/> HUF <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society <input type="checkbox"/> AOP/BOI <input type="checkbox"/> Trust<br><input type="checkbox"/> Liquidator <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Artificial Juridical Person <input type="checkbox"/> Others <input style="width: 100px;" type="text" value="specify"/> |

**Is "Entity" a tax resident of any country other than India**     Yes     No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

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

\*In case Tax Identification Number is not available, kindly provide its functional equivalent\$.

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

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

### ADDITIONAL KYC INFORMATION

|  |  |
|--|--|
| Gross Annual Income (₹)  | <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 - 5 Lacs <input type="checkbox"/> 5 - 10 Lacs <input type="checkbox"/> 10 - 25 Lacs <input type="checkbox"/> >25 Lacs - 1 Crore <input type="checkbox"/> >1 Crore  |
| OR   |  |
| Net-worth (Mandatory for Non-Individuals)  | ₹ <input style="width: 150px;" type="text"/> as on <input style="width: 40px;" type="text"/> <input style="width: 40px;" type="text"/> <input style="width: 40px;" type="text"/> <input style="width: 40px;" type="text"/> <input style="width: 40px;" type="text"/> <input style="width: 40px;" type="text"/> <input style="width: 40px;" type="text"/> <input style="width: 40px;" type="text"/> (Not older than 1 year) |
| Politically Exposed Person (PEP) Status* (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors) | <input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable   |
| Is the entity involved in any of the mentioned services: (Please ü as appropriate)   | <input type="checkbox"/> Foreign exchange/ Money changer <input type="checkbox"/> Gaming/ Gambling/ Lottery (Casinos, betting syndicates)<br><input type="checkbox"/> Money lending/ Pawning <input type="checkbox"/> Not applicable   |

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

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

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

|  |  |  |
|--|--|--|
| <input type="checkbox"/> We are a, Financial institution <sup>6</sup><br>OR<br><input type="checkbox"/> Direct reporting NFE <sup>7</sup> (please tick as appropriate) | GIIN <input style="width: 100px;" type="text"/><br>Name of sponsoring entity <input style="width: 100px;" type="text"/>  | 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 |
| GIIN not available (please ü as applicable)<br>If the entity is a financial institution  | <input type="checkbox"/> Applied for <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <sup>10</sup> <input style="width: 40px;" type="text"/> | <input type="checkbox"/> Not obtained - Non-participating FI   |

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

|   |  |   |
|---|--|---|
| 1 | Is the Entity a publicly traded company <sup>1</sup> (that is, a company whose shares are regularly traded on an established securities market)            | Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded)<br>Name of stock exchange <input style="width: 150px;" type="text"/>  |
| 2 | Is the Entity a related entity <sup>2</sup> of a publicly traded company (a company whose shares are regularly traded on an established securities market) | Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)<br>Name of listed company <input style="width: 150px;" type="text"/><br>Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Co.    or <input type="checkbox"/> Controlled by a Listed Co.<br>Name of stock exchange <input style="width: 150px;" type="text"/> |
| 3 | Is the Entity an active <sup>3</sup> NFE   | Yes <input type="checkbox"/> Nature of Business <input style="width: 150px;" type="text"/><br>Please specify the sub-category of Active NFE <input style="width: 40px;" type="text"/> <input style="width: 40px;" type="text"/> (Mention code-refer 2c of Part D)   |
| 4 | Is the Entity a passive <sup>4</sup> NFE   | Yes <input type="checkbox"/> Nature of Business <input style="width: 150px;" type="text"/>  |

<sup>1</sup>Refer 2a of Part C | <sup>2</sup>Refer 2b of Part C | <sup>3</sup>Refer 2c of Part C | <sup>4</sup>Refer 3(ii) of Part C | <sup>6</sup>Refer 1 of Part C | <sup>7</sup>Refer 3(vii) of Part C | <sup>10</sup>Refer 1A of Part C

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

|  |   |  |  |   |
|--|---|--|--|---|
| Category (Please tick applicable category) | <input type="checkbox"/> Unlisted Company | <input type="checkbox"/> Partnership Firm        | <input type="checkbox"/> Limited Liability Partnership Company | <input type="checkbox"/> Unincorporated association / body of individuals |
|  | <input type="checkbox"/> Private Trust    | <input type="checkbox"/> Public Charitable Trust | <input type="checkbox"/> Religious Trust                       | <input type="checkbox"/> Others <input type="text"/>                      |

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

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

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

# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:  
 \* To include US, where controlling person is a US citizen or green card holder  
 ® In case Tax Identification Number is not available, kindly provide functional equivalent  
 ^ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary  
 ® Refer 3(iii) of Part C | ® Refer 3(iv) (A) of Part C

**FATCA - CRS Terms and Conditions**

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

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

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

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

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

**CERTIFICATION**

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

Name

Designation

Signatures  Signatures  Signatures

Date  Place



PART C FATCA Instructions & Definitions

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

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

OR
- The gross income of which is primarily attributable to investing, reinvesting, or trading in Financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

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

- (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made;
  - OR
  - (ii) The period during which the entity has been in existence.
- The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

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

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

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

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

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets

(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of share traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity of which is regularly traded on an established securities market;

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

| Code | Sub-category   |
|------|--|
| 01   | Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;   |
| 02   | The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;  |
| 03   | Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;  |
| 04   | The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;  |
| 05   | The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;  |
| 06   | The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;   |
| 07   | Any NFE that fulfills all of the following requirements: <ul style="list-style-type: none"> <li>• It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>• It is exempt from income tax in India;</li> <li>• It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</p> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation:- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <ul style="list-style-type: none"> <li>(I) an Investor Protection Fund referred to in clause (23EA);</li> <li>(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</li> <li>(III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;</li> </ul> |

3. Other definitions

(i) Related entity

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

(ii) Passive NFE

The term passive NFE means

- (i) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or
- (ii) an investment entity defined in clause (b) of these instructions

(iii) a withholding foreign partnership or withholding foreign trust;  
(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income includes income by way of:

- (1) Dividends,
- (2) Interest
- (3) Income equivalent to interest,
- (4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE
- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

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

(iv) Controlling persons

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

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through 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.

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

(A) Controlling Person Type:

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

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

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

(iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;

(v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;

(vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;

(vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;

(viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);

(ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;

(x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;

(xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;

(xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or

(xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements:

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

(vii) Direct reporting NFFE

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

(viii) Exemption code for U.S. persons

| Code | Sub-category  |
|------|---|
| A    | An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)  |
| B    | The United States or any of its agencies or instrumentalities   |
| C    | A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities   |
| D    | A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)  |
| E    | A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)   |
| F    | A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state |
| G    | A real estate investment trust  |
| H    | A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940  |
| I    | A common trust fund as defined in section 584(a)  |
| J    | A bank as defined in section 581  |
| K    | A broker  |
| L    | A trust exempt from tax under section 664 or described in section 4947(a)(1)  |
| M    | A tax exempt trust under a section 403(b) plan or section 457(g) plan   |

# ONE TIME MANDATE (OTM) FORM

- One Time Mandate (OTM) is a common application form for registration of mandate centrally and not being folio specific.
- OTM registration will be PAN Based and will be available for investment in all folios available with Axis Mutual Fund for Multiple SIPs and additional purchases.
- One Time Mandate is only available to HUFs, Proprietor Firms and individual investors with "Single" or "Either or Survivor" mode of holding.

## 01 INVESTOR DETAILS (If One Time Mandate registration is not required, skip this section and only fill the NACH Mandate below.)

Name of Applicant

PAN

Bank Name  Account No.

I / We declare that the particulars furnished here are correct. I / We authorize Axis Mutual Fund acting through its service providers to debit my / our bank account towards payment of SIP installments and/ or any lumpsum payments through an Electronic Debit arrangement / NACH (National Automated Clearing House) as per my request from time to time.

If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the user institution responsible.

I/We will also inform Axis Mutual Fund about any changes in my bank account.

I/We hereby authorize to honour such payments and have signed and endorsed the Mandate Form.

Further, I authorize my representative (the bearer of this request) to get the above Mandate verified. Mandate verification charges, if any, may be charged to my/our account.

I/We hereby agree to read the respective SID and SAI of the mutual fund before investing in any scheme of Axis Mutual Fund using this facility.

I/ We request you to make provisions for me/ us and/ or an advisor authorized by me to be able to utilize this mandate for any transaction (not limited to SIP and/ or Lumpsum payments) in all the folios associated with my PAN mentioned above any mode of transaction available to me time to time from Axis Mutual Fund.

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

Signature of PAN Holder (as per folio record)

Date  Place

UMRN  Bank use  Date

Tick (✓)  Sponsor Bank Code  Bank use  Utility Code  Bank use

CREATE  I/We hereby authorize **Axis 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  ₹  In Figures

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

Reference 1  PAN No.  Phone No.

Reference 2  All Schemes of Axis Mutual Fund  Email ID

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

**PERIOD**

From

To

Maximum period of validity of this mandate is 40 years only

1.  Signature Primary Account holder  Signature of Account holder  Signature of Account holder

Name as in bank records Name as in bank records Name as in bank records

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

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

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

Investor Name

PAN No.

Stamp & Signature

## INSTRUCTIONS FOR ONE TIME MANDATE

1. One Time Mandate is currently available to HUFs, Proprietor Firms and individual investors with "Single" or "Either or Survivor" the mode of holding.
2. OTM end date cannot be more than 40 years from the date of the mandate.
3. The end date mentioned on SIP application should be equal to or, less than the end date mentioned on SIP NACH/OTM. If SIP end date exceeds from the date mentioned on the NACH/OTM then, SIP will be registered as per NACH/OTM end date.
4. Registration of One Time Mandate will take 21 days from the date of submission of form.
5. Mandate will be processed through NACH platform offered by NPCI.
6. "National Automated Clearing House (NACH)" is Direct Electronic Debit mode implemented by National Payments Corporation of India (NPCI), list of banks is available on NPCI website [www.npci.org.in](http://www.npci.org.in). The said list is subject to modifications. The investor agrees to abide by the terms and conditions of NACH Debit/ECS of Reserve Bank of India/Banks.
7. In case the Mandatory fields on the Mandate are not filled, the mandate will be rejected.
8. Maximum Amount: The MAXIMUM AMOUNT is the per transaction maximum limit. As investor can register for multiple SIPs with one time NACH mandate. The transaction amount should not exceed the maximum amount mentioned in the NACH mandate. It is suggested to choose a higher amount to commence additional investments in future or to absorb Top-Up increments.
9. Axis One Time Mandate cannot be utilized for Liquid schemes, ETF schemes, closed ended schemes, and during NFO period.
10. The Investor/s shall not hold the AMC liable for the following:
  - For any transaction using the Facility carried out in good faith by the AMC on instructions of the Investor/s.
  - For unauthorized usage/ unauthorized transactions conducted by using the Facility.
  - For any loss or damage incurred or suffered by the Investor/s due to any error, defect, failure or interruption in the provision of the Facility arising from or caused by any reason whatsoever.
  - For any negligence/mistake or misconduct by the Investor/s.
  - For any breach or non-compliance by the Investor/s of the rules/ terms and conditions stated in the Scheme Information Document.
  - For not verifying the identity of the person giving the telephone instructions in the Investor/s name.
  - For not carrying out any such instructions where the AMC has reason to believe (which decision of the AMC the Investor/s shall not question or dispute) that the instructions given are not genuine or are otherwise improper, unclear, vague or cause for doubt.
  - For carrying out a transaction after such reasonable verification as the AMC may deem fit regarding the identity of the Investor/s.
  - In case of error in NAV communication.
  - For accepting instructions given by any one of the Investor/s or his/her authorized person.
11. Axis Asset Management Company Limited (AMC) has the right to ask such information (Key Information) from the available data of the Investor/s before allowing him/her access to avail the One Time Mandate facility (the Facility). If for any reason, the AMC is not satisfied with the replies of the Investor/s, the AMC has at its sole discretion the right of refusing access without assigning any reason/s to the Investor/s.
12. It is clarified that the Facility is only with a view to accommodate / facilitate the Investor/s and offered at the sole discretion of the AMC. The AMC is not bound and/or obliged in any way to give access to the Facility to Investor/s.
13. The Investor/s shall check his/ her account records carefully and promptly. If the Investor/s believes that there has been a mistake in any transaction using the Facility, or that an unauthorized transaction has been effected, the Investor/s shall notify the AMC immediately. If the Investor/s defaults in intimating the discrepancies in the statement within a period of fifteen days of receipt of the statements, he waives all his rights to raise the same in favor of the AMC, unless the discrepancy/ error is apparent on the face of it. By opting for the facility the Investor/s hereby irrevocably authorizes and instructs the AMC to act as his/ her agent and to do all such acts as AMC may find necessary to provide the Facility.
14. The Investor/s shall at all times be bound by any modifications and/ or variations made to these Terms and Conditions by the AMC at their sole discretion and without notice to them.
15. The Investor/s agrees and confirms that the AMC has the right to ask the Investor/s for an oral or written confirmation of any transaction request using the Facility and/ or any additional information regarding the Account of the Investor/s.
16. The Investor/s agrees and confirms that the AMC may at its sole discretion suspend the Facility in whole or in part at any time without prior notice.
17. The Investor/s shall not assign any right or interest or delegate any obligation arising herein.
18. The Investor/s shall take responsibility for all the transactions conducted by using the Facility and will abide by the record of transactions generated by the AMC. Further, the Investor/s confirms that such records generated by the AMC shall be conclusive proof and binding for all purposes and may be used as evidence in any proceedings and unconditionally waives all objections in this behalf.
19. The Investor/s agrees that use of the Facility will be deemed acceptance of the Terms and Conditions and the Investor/s will unequivocally be bound by these Terms and Conditions.









# STP Enrolment Form - Instruction

- The STP Enrolment Form should be completed in English and in Block Letters only. Please tick in the appropriate box, where boxes have been provided. The STP Enrolment Form complete in all respects, should be submitted at any of the Official Points of Acceptance of Axis Mutual Fund.
- One STP Enrolment Form can be filled for one Scheme/Plan/Option only.
- Investors are advised to read the Key Information Memorandum(s) (KIMs) and Scheme Information Document(s) (SIDs) of the Transferee Scheme(s) and Statement of Additional Information (SAI) carefully before investing. The SIDs / KIMs of the respective Scheme(s) and SAI are available with the ISCs of Axis Mutual Fund, brokers/distributors and also displayed at the Axis Mutual Fund website i.e. [www.axismf.com](http://www.axismf.com)
- Unit holders should note that unit holders' details and mode of holding (single, joint, anyone or survivor) in the Transferee Scheme will be as per the existing folio number of the Transferor Scheme. Units will be allotted under the same folio number. Unit holders' names should match with the details in the existing folio number, failing which; the application is liable to be rejected.
- STP offers unit holders the following two Plans:
  - Systematic Transfer Plan (STP)
  - Capital Appreciation Systematic Transfer Plan (CapSTP)

Investor's can opt for any of the above facility.

Systematic Transfer Plan (STP) offers transfer facility at Daily, Weekly, Fortnightly, Monthly and Quarterly intervals.

Capital Appreciation STP (CapSTP) offers transfer facility at Weekly, Monthly and Quarterly intervals. If no frequency is chosen, Monthly frequency shall be treated as the Default Frequency.

- Under the CapSTP-Weekly Interval, unit holders will be eligible to transfer the entire capital appreciation amount (minimum ₹ 500) by way of capital appreciation from Monday to Friday.

Monthly Interval, unit holders will be eligible to transfer the entire capital appreciation amount (minimum ₹ 500) by way of capital appreciation on the 1st, 7th, 10th, 15th or 25th of each month.

Under the CapSTP-Quarterly Interval, unit holders will be eligible to transfer the entire capital appreciation amount (minimum ₹ 1,000) by way of capital appreciation on the 1st, 7th, 10th, 15th or 25th of the first month of each quarter. The beginning of the quarter could be of any month e.g. January, March, July, September, etc. Please note that no transfers will take place if there is no minimum capital appreciation amount (except for last transfer leading to closure of account). The capital appreciation, if any, will be calculated from the enrolment date of the CapSTP under the folio, till the first transfer date. Subsequent capital appreciation, if any, will be the capital appreciation between the previous CapSTP date (where CapSTP has been processed and paid) and the next CapSTP date.

- The provision of 'Minimum Redemption Amount' as specified in the Scheme Information Document(s) of the respective designated Transferor Schemes and 'Minimum Application Amount' specified in the Scheme Information Document(s) of the respective designated Transferee Schemes will not be applicable for STP.
- Unit holders are required to fill in either the number of instalments OR the enrolment period in the STP Form, failing which the STP shall be registered as per No. of Instalments mentioned.
- In case Day of Transfer has not been indicated under STP- Weekly frequency, Wednesday shall be treated as Default day.
- In case, the Enrolment Period has been filled, but the STP Date and/or Frequency (Monthly/Quarterly) has not been indicated, Monthly frequency shall be treated as Default frequency and 10th shall be treated as Default Date.
- The application for STP/ Cap STP enrolment - Monthly & Quarterly Interval should be submitted at least 4 working days and not more than 90 days before the desired commencement date.
- Please refer below table for min. no. of installments and minimum amount per installment:

| STP Frequency | Cycle Date                   | Minimum Amount* (in ₹) | Minimum Installment |
|---------------|------------------------------|------------------------|---------------------|
| Daily         | Monday To Friday             | 1,000/-                | 6                   |
| Weekly        | Monday To Friday             | 1,000/-                | 6                   |
| Fortnightly   | Alternate Wednesday          | 1,000/-                | 6                   |
| Monthly       | 1st, 7th, 10th, 15th or 25th | 1,000/-                | 6                   |
| Quarterly     | 1st, 7th, 10th, 15th or 25th | 3,000/-                | 2                   |

If the Transferee scheme is Axis Long Term Equity Fund, minimum STP amount is ₹500.

- In respect of STP, the Load Structure prevalent at the time of enrolment shall govern the investors during the tenure of the STP.
- A minimum period of 4 working days shall be required for registration under STP. Units will be allotted/redeemed at the applicable NAV of the respective dates of the Scheme on which such investments/withdrawals are sought from the Scheme.
- The AMC reserves the right to introduce STPs at any other frequencies or on any other dates as the AMC may feel appropriate from time to time. In the event that such a day is a Holiday, the transfer would be affected on the next Business Day.
- The requests for discontinuation of STP/CapSTP shall be subject to an advance notice of 4 working days before the next due date for STP.
- STP will terminate automatically if all Units are liquidated or withdrawn from the account or upon the Funds' receipt of notification of death or incapacity of the Unit holder. Further, in case where the balance amount in a folio is less than the STP/CapSTP amount, the entire amount will be transferred to the transferee scheme.
- If STP date/day is a non-Business Day, then the next Business Day shall be the STP Date / Day and the same will be considered for the purpose of determining the applicability of NAV.
- The Trustee reserves the right to change/modify the terms and conditions of the STP. For the updated terms and conditions of STP, contact the nearest ISC or visit our website [www.axismf.com](http://www.axismf.com)

## Declaration Form of Non-Profit Organization (NPO) (Mandatory for Trusts/Society)

Investor Name

PAN

I/We hereby confirm that above stated entity / organization is falling under “**Non-profit organization**” [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

Enclosed relevant documentary proof evidencing the above definition.

We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

Registration Number of DARPAN portal

If not, please register immediately and confirm with the above information. In absence of receipt of the Darpan portal registration details, MF/AMC/RTA will be required to register your entity on the said portal and/or report to the relevant authorities as applicable.

I/We hereby confirm that the above stated entity / organization is **NOT** falling under Non-profit organization as defined above or in PMLA Act/Rules thereof.

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/tax authorities.

**Signature with relevant seal:**

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| Authorized Signatory | Authorized Signatory | Authorized Signatory |
|----------------------|----------------------|----------------------|

Date

Place



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# SMART SWITCH FACILITY

## ENROLMENT FORM

(PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM. ALL SECTIONS TO BE COMPLETED IN ENGLISH IN BLACK/BLUE COLOURED INK & IN BLOCK LETTERS)

| Distributor ARN | Sub-Distributor ARN | Internal Sub-Broker/Sol ID | EUIN | Employee Code | RIA CODE <sup>^</sup> | PMR (Portfolio Manager's Registration) Number <sup>^^</sup> | Serial No., Date & Time Stamp |
|-----------------|---------------------|----------------------------|------|---------------|-----------------------|---|-------------------------------|
|                 |                     |                            |      |               |                       |   |                               |

Upfront commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor. <sup>^</sup>I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Investment Adviser. <sup>^^</sup>I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Portfolio Manager.

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

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

### 01 INVESTOR DETAILS

Existing folio number  PAN/PEKRN (1st Applicant)

My Name

### 02 SCHEME DETAILS (for Lumpsum investment / Switch Out Scheme) (Purchase applications would be accepted only upto applicable cut -off timings on September 22, 2024.)

Scheme name (Please ✓ choice of Scheme)  Axis Overnight Fund

Plan (Please ✓ choice of Scheme)  Regular Plan  Direct Plan  Option  Growth Option

### 03 INVESTMENT DETAILS

DD/Cheque No.  NEFT/ RTGS/ Fund Transfer  One Time Mandate (OTM)

Amount ₹ (in figures)  ₹ (in words)

Dated  Bank & Branch

### 04 SWITCH - IN SCHEME DETAILS

Scheme name **AXIS CRISIL-IBX AAA NBFC INDEX - JUN 2027 FUND** Plan  Regular Plan  Direct Plan

Option  Growth Option

I have read and understood the terms & conditions of SMART SWITCH Facility.

### 05 DECLARATION AND SIGNATURE

Having read and understood the content of the SID / KIM of the scheme and SAI of the Axis Mutual Fund (The Fund), I/we hereby apply for units of the scheme. I have read and understood the terms, conditions, details, rules and regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate source only and does not involve designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I/we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We confirm that the funds invested in the Scheme, legally belongs to me/us. In event "Know Your Customer" process is not completed by me/us to the satisfaction of the Mutual Fund, (I/we hereby authorize the Mutual Fund, to redeem the funds invested in the Scheme, in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law.) The ARN holder has disclosed to me/us all the commissions (trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds amongst which the Scheme is being recommended to me/ us. I/ we give my / our consent to collect personal data or information as prescribed in the privacy policy which is available on the website of the AMC / Fund. I/We hereby give consent to the Company or its Authorized Agents and third party service providers to use information/data provided by me to contact me through any channel of communication including but not limited to email, telephone, sms, etc. and further authorise the disclosure of the information contained herein to its affiliates/group companies or their Authorized Agents or Third Party Service Providers in order to provide information and updates to me on various financial and investment products and offering of other services. I/We agree that all personal or transactional related information collected/provided by me can be shared/transferred and disclosed with the above mentioned parties including with any regulatory, statutory or judicial authorities for compliance with any law or regulation in accordance with privacy policy as available at the website of the Company.

I/We confirm that I/We do not have any existing Micro SIP/Lumpsum investments which together with the current application will result in aggregate investments exceeding ₹ 50,000 in a year (Applicable for Micro investment only.) with your fund house. For NRIs only - I/We confirm that I am/ we are Non Residents of Indian nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/ our Non Resident External / Non Resident Ordinary / FCNR account. I/We confirm that details provided by me/us are true and correct.

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

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

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

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.

**Declaration:** I/We have read and understood the instructions of SMART SWITCH Facility on aforesaid page and hereby request you to switch all units allotted in source scheme for amount invested through Smart Switch Form to AXIS CRISIL-IBX AAA NBFC INDEX - JUN 2027 FUND subject to terms & conditions of the target scheme. (Please refer to the SID and KIM of respective funds for complete details).

|                               |                      |                      |                          |
|-------------------------------|----------------------|----------------------|--------------------------|
| <input type="text"/>          | <input type="text"/> | <input type="text"/> | <input type="text"/>     |
| You/ Sole Applicant /Guardian | Second Applicant     | Third Applicant      | Power of Attorney Holder |

Date  Place

**TERMS AND CONDITIONS FOR SMART SWITCH FACILITY**

- SMART SWITCH Facility ("the Facility") allows investors to first invest in the Source Scheme and then automatically Switch invested principle amount into scheme whose NFO is going on. The switch from source scheme to NFO scheme takes place on the last day of the NFO.
- Currently, Axis Overnight Fund will act as the Source Scheme. Investments would be allowed only under the Growth Option of these Schemes.
- In case of existing investments in any of the Source Schemes and additional purchase through this facility, the switch will be effected on FIFO basis and to the extent of the additional units purchased through this facility.  
**Example:** Investor A (having exiting 5,000 units) in Axis Overnight Fund, done additional purchase of ₹ 150000 (15000 units appx) through Smart Switch. In that case, the switch out will be processed only for 15,000 units (refer point 3) and not for 20,000 units. Further, the switch- out of 15,000 units will be done as per FIFO method, 5,000 units from existing investment + 10,000 units from Smart Switch Investments = 15,000 units irrespective of valuation (Gain/Loss) on switch out date.
- New / First Time Investors with Axis Mutual Fund are required to fill in the Application Form along with the SMART SWITCH Enrollment Form.
- Switch out will be subject to applicable taxes and exit Load, if any in the Source Scheme.
- This facility is applicable for units held in non-demat mode.
- The purchase/switch in application should meet the Minimum Application Amount requirement under each Scheme. In case, the minimum application amount requirement is not met, the application will be rejected.
- Investments in the specified source schemes will be accepted till applicable cut off time for the respective schemes on September 22, 2024 and if the corresponding units in the source scheme are allotted on or before September 22, 2024, then the NFO switch will be executed on September 23, 2024. In case the units in the source scheme are allotted after September 22, 2024 the NFO switch will not be executed.
- The enrollment form not complete in all respects is liable to be rejected. Axis Mutual Fund / Axis AMC reserves the right to reject any application without assigning any reason thereof.
- Axis Mutual Fund / Axis AMC reserves the right to change/modify the facility or withdraw the facility at any given point in time.
- NFO switch (out) will be subject to availability of amount in source scheme, on the last day of ongoing NFO.

| Fund Name & Benchmark   | Product Labelling   | Product Riskometer  | Benchmark Riskometer                        | Potential Risk Class Matrix  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
|---|---|---|---|--|---------------|--------------------------|--------------------|---------------------------|----------------------|--|--|--|--------------------------|-----|--|--|---------------------|------|--|--|-----------------------------|--|--|--|
| <p><b>Axis Overnight Fund</b><br/>(An open ended debt scheme investing in overnight securities. A relatively low interest risk &amp; relatively low credit risk)<br/><b>Benchmark:</b> NIFTY 1D Rate Index</p>  | <p>This product is suitable for investors who are seeking*:</p> <ul style="list-style-type: none"> <li>Regular income with high levels of safety and liquidity over short term.</li> <li>Investment in debt and money market instruments with overnight maturity.</li> </ul> <p>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</p>          | <p>Investors understand that their principal will be at low risk</p>      | <p>NIFTY 1D Rate Index</p>                  | <table border="1"> <tr> <td>Credit Risk →</td> <td>Relatively Low (Class A)</td> <td>Moderate (Class B)</td> <td>Relatively High (Class C)</td> </tr> <tr> <td>Interest Rate Risk ↓</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Relatively Low (Class I)</td> <td>A-I</td> <td></td> <td></td> </tr> <tr> <td>Moderate (Class II)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Relatively High (Class III)</td> <td></td> <td></td> <td></td> </tr> </table>  | Credit Risk → | Relatively Low (Class A) | Moderate (Class B) | Relatively High (Class C) | Interest Rate Risk ↓ |  |  |  | Relatively Low (Class I) | A-I |  |  | Moderate (Class II) |      |  |  | Relatively High (Class III) |  |  |  |
| Credit Risk →   | Relatively Low (Class A)  | Moderate (Class B)  | Relatively High (Class C)                   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
| Interest Rate Risk ↓  |   |   |   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
| Relatively Low (Class I)  | A-I   |   |   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
| Moderate (Class II)   |   |   |   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
| Relatively High (Class III)   |   |   |   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
| <p><b>AXIS CRISIL-IBX AAA NBFC INDEX - JUN 2027 FUND</b><br/>(An open-ended Target Maturity Index Fund investing in constituents of CRISIL-IBX AAA NBFC Index - Jun 2027. A moderate interest rate risk and relatively low credit risk.)<br/><b>Benchmark:</b> CRISIL-IBX AAA NBFC Index - Jun 2027</p> | <p>This product is suitable for investors who are seeking*:</p> <ul style="list-style-type: none"> <li>Income over the target maturity period.</li> <li>An open ended target maturity index fund tracking CRISIL-IBX AAA NBFC Index - Jun 2027, subject to tracking error.</li> </ul> <p>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</p> | <p>Investors understand that their principal will be at moderate risk</p> | <p>CRISIL-IBX AAA NBFC Index - Jun 2027</p> | <table border="1"> <tr> <td>Credit Risk →</td> <td>Relatively Low (Class A)</td> <td>Moderate (Class B)</td> <td>Relatively High (Class C)</td> </tr> <tr> <td>Interest Rate Risk ↓</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Relatively Low (Class I)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Moderate (Class II)</td> <td>A-II</td> <td></td> <td></td> </tr> <tr> <td>Relatively High (Class III)</td> <td></td> <td></td> <td></td> </tr> </table> | Credit Risk → | Relatively Low (Class A) | Moderate (Class B) | Relatively High (Class C) | Interest Rate Risk ↓ |  |  |  | Relatively Low (Class I) |     |  |  | Moderate (Class II) | A-II |  |  | Relatively High (Class III) |  |  |  |
| Credit Risk →   | Relatively Low (Class A)  | Moderate (Class B)  | Relatively High (Class C)                   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
| Interest Rate Risk ↓  |   |   |   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
| Relatively Low (Class I)  |   |   |   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
| Moderate (Class II)   | A-II  |   |   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |
| Relatively High (Class III)   |   |   |   |  |               |                          |                    |                           |                      |  |  |  |                          |     |  |  |                     |      |  |  |                             |  |  |  |