

KEY INFORMATION MEMORANDUM

PGIM INDIA MULTI ASSET ALLOCATION FUND

(Multi Asset Allocation Fund - An open ended scheme investing in Equity and Equity related instruments, Debt & Money Market instruments, Gold ETFs & Silver ETFs)

Product labeling for the scheme is as follows:

This product is suitable for investors who are seeking*		
- Capital appreciation over a long period of time - Investments in a diversified portfolio of equity & equity related instruments, Debt & Money Market Instruments, and Gold ETFs & Silver ETFs.	Scheme Riskometer	Benchmark Riskometer
	 The risk of the scheme is Very High	 The risk of the benchmark is Very High AMFI Tier 1 Benchmark – 60% of Nifty 500 TRI+ 20% of Crisil Short Term Bond Index + 10% of Domestic prices of Gold + 10% of Domestic prices of Silver

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

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

Offer for Units of Rs. 10/- Per Unit for cash during the New Fund Offer Period and at NAV based prices upon re-opening

New Fund Offer Opens on: November 11, 2025

New Fund Offer Closes on: November 25, 2025

Scheme Re-opens for continuous sale and repurchase on: December 03, 2025

Name of the Mutual Fund	PGIM India Mutual Fund
Name of the Asset Management Company	PGIM India Asset Management Private Limited
Name of the Trustee Company	PGIM India Trustees Private Limited
Address of the entities	4 th Floor, C Wing, Laxmi Towers, Bandra Kurla Complex, Bandra (East), Mumbai - 400051
Website	https://www.pgimindia.com/mutual-funds

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 Centers or distributors or from the website <https://www.pgimindia.com/mutual-funds>.

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 October 27, 2025.

Investment Objective	The investment objective of the Scheme is to seek to generate long term capital appreciation by investing in multiple asset classes including equity and equity related securities, debt and money market instruments, Gold ETFs & Silver ETFs. However, there is no assurance that the investment objective of the scheme will be achieved. The Scheme does not guarantee/ indicate any returns.																																							
Asset Allocation Pattern of the scheme	<table><tr><th rowspan="2">Instruments</th><th colspan="2">Indicative Allocations (% of total assets)</th></tr><tr><th>Minimum</th><th>Maximum</th></tr><tr><td>Equity & Equity related instruments (including Derivatives)</td><td>30%</td><td>70%</td></tr><tr><td>Debt and money market instruments</td><td>10%</td><td>35%</td></tr><tr><td>Gold ETFs & Silver ETFs</td><td>10%</td><td>25%</td></tr><tr><td>Units issued by REITs & InvITs</td><td>0%</td><td>10%</td></tr></table> Indicative Table: (Actual instrument/percentages may vary subject to applicable SEBI circulars) <table><tr><th>Sr. No.</th><th>Type of Instrument</th><th>Percentage of exposure</th><th>Circular references</th></tr><tr><td>1.</td><td>Derivatives for hedging purpose</td><td>The maximum exposure to derivatives shall not exceed 50% of the net asset of the scheme.</td><td>Paragraph 12.25 of SEBI Master Circular for Mutual Funds.</td></tr><tr><td>2.</td><td>Securitized Debt</td><td>Investment in securitized debt shall not exceed 20% of the net assets of the scheme.</td><td>Paragraph 12.15 of SEBI Master Circular for Mutual Funds.</td></tr><tr><td>3.</td><td>Debt Instruments with special features AT1 and AT2 Bonds</td><td>The Scheme doesn't intend to invest in debt instruments including Tier 1 bonds and Tier 2 bonds issued under Base III framework with special features viz. subordination to equity (absorbs losses before equity capital) and /or convertible to equity upon trigger of a prespecified event for loss absorption.</td><td>Paragraph 12.2 of SEBI Master Circular for Mutual Funds.</td></tr><tr><td>4.</td><td>Debt Instruments with SO / CE</td><td>The scheme may invest in debt instruments having structured obligations / credit enhancements. Such investment shall not exceed 10% of the debt portfolio of the scheme.</td><td>Paragraph 12.3 of SEBI Master Circular for Mutual Funds.</td></tr></table>			Instruments	Indicative Allocations (% of total assets)		Minimum	Maximum	Equity & Equity related instruments (including Derivatives)	30%	70%	Debt and money market instruments	10%	35%	Gold ETFs & Silver ETFs	10%	25%	Units issued by REITs & InvITs	0%	10%	Sr. No.	Type of Instrument	Percentage of exposure	Circular references	1.	Derivatives for hedging purpose	The maximum exposure to derivatives shall not exceed 50% of the net asset of the scheme.	Paragraph 12.25 of SEBI Master Circular for Mutual Funds.	2.	Securitized Debt	Investment in securitized debt shall not exceed 20% of the net assets of the scheme.	Paragraph 12.15 of SEBI Master Circular for Mutual Funds.	3.	Debt Instruments with special features AT1 and AT2 Bonds	The Scheme doesn't intend to invest in debt instruments including Tier 1 bonds and Tier 2 bonds issued under Base III framework with special features viz. subordination to equity (absorbs losses before equity capital) and /or convertible to equity upon trigger of a prespecified event for loss absorption.	Paragraph 12.2 of SEBI Master Circular for Mutual Funds.	4.	Debt Instruments with SO / CE	The scheme may invest in debt instruments having structured obligations / credit enhancements. Such investment shall not exceed 10% of the debt portfolio of the scheme.	Paragraph 12.3 of SEBI Master Circular for Mutual Funds.
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		(group exposure in such instruments shall not exceed 5% of the debt portfolio of the scheme.)	
5.	Stock lending and Borrowing	The Scheme may also engage in securities lending. Shall not exceed 20% of its net assets in securities lending Shall not exceed 5% of the net assets of the Scheme shall be deployed in securities lending to any single counterparty.	Paragraph 12.11 of SEBI Master Circular for Mutual Funds.
6.	Overseas Investments	Investments in Overseas securities will not exceed 15% of the net assets of the Scheme.	Paragraph 12.19 of SEBI Master Circular for Mutual Funds.
7.	REITs and InvITs	The scheme may invest upto 10% of the net assets in units of REITs and INVITs and not more than 5% of the net assets of the Scheme will be invested in REITs and INVITs of any single issuer.	Paragraph 12.21 of SEBI Master Circular for Mutual Funds.
8.	Tri - Party Repos	The scheme may invest upto 20% in tri - party repo transactions.	-
9.	Other own mutual funds	The scheme may invest in the units of Mutual Fund Schemes. Such investment shall not exceed 5% of the net asset value of the Fund.	Clause 4 of Seventh Schedule of SEBI (Mutual Funds) Regulations, 1996.
10.	Repo/ reverse repo transactions in corporate debt securities	The scheme may participate in corporate bond repo transactions. Such investment shall not exceed 10% of the net assets of the scheme.	Paragraph 12.18 of SEBI Master Circular for Mutual Funds.
11.	Credit Default Swaps transactions	The scheme will not participate in Credit Default Swaps	—
12.	Short selling of securities	The Scheme may engage in short selling of securities.	Paragraph 12.11 of SEBI Master Circular for Mutual Funds.

13.	Investment in triparty repo on Government securities or treasury bills before the closure of NFO.	Yes, in accordance with SEBI guidelines.	Paragraph 1.10.3 of SEBI Master Circular for Mutual Funds.
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In terms of paragraph 12.24 of SEBI Master Circular for Mutual Funds, the cumulative gross exposure through equity, debt, derivative positions (and fixed income derivatives), repo transactions and credit default swaps in corporate debt securities, Real Estate Investment Trusts (REITs), Infrastructure Investment Trusts (InvITs), Gold ETFs & Silver ETFs, and other permitted securities/assets and such other securities/assets as may be permitted by the Board from time to time, subject to regulatory approvals, if any, should not exceed 100% of the net assets of the scheme.

Pending deployment of funds of the Scheme in securities in terms of the investment objective of the Scheme the AMC may park the funds of the Scheme in short term deposits of scheduled commercial banks, subject to the guidelines prescribed under paragraph 12.16 of SEBI Master Circular for Mutual Funds, as amended from time to time. The Scheme will comply with the following guidelines-restrictions for parking of funds in short term deposits:-

- "Short Term" for parking of funds shall be treated as a period not exceeding 91 days.
- Such short-term deposits shall be held in the name of the Scheme.
- The Scheme shall not park more than 15% of the net assets in short term deposit(s) of all the scheduled commercial banks put together. However, such limit may be raised to 20% with the approval of the Trustee.
- Parking of funds in short term deposits of associate and sponsor scheduled commercial banks together shall not exceed 20% of total deployment by the Mutual Fund in short term deposits.
- The Scheme shall not park more than 10% of the net assets in short term deposit(s), with any one scheduled commercial bank including its subsidiaries.
- The Scheme shall not park funds in short-term deposit of a bank which has invested in the said Scheme. Further Trustees/AMC shall also ensure that a bank in which scheme has short term deposit does not invest in the Scheme until the Scheme has short term deposits with such bank.
- AMC shall not charge any investment management and advisory fees for parking of funds in short term deposits of scheduled commercial banks.

However, the above provisions will not apply to term deposits placed as margins for trading in cash and derivatives market.

Overseas Investments by the Scheme:

According to paragraph 12.19 of SEBI Master Circular for Mutual Funds, mutual funds can invest in certain permissible foreign securities.

As per paragraph 12.19 of SEBI Master Circular for Mutual Funds, overseas investments are subject to an overall limit of US\$ 7 billion for all mutual funds put together. The Mutual Funds have been allowed an individual limit of US\$ 1 billion for overseas investments. The Scheme may, with the approval of SEBI/ RBI invest in foreign securities as specified by SEBI. The overall ceiling for investment in overseas ETFs that invest in securities is US \$ 1 billion subject to a maximum of US \$ 300 million per mutual fund.

The Scheme intends to invest upto USD 5 million in overseas securities, subject to maximum limits as specified in per paragraph 12.19 of SEBI Master Circular for Mutual Funds. The said limit shall be valid for a period of six months from the date of closure of NFO. Thereafter the unutilized limit, if any, will not be available to the Scheme for investment in overseas securities and will be available towards the unutilized industry wide limits. Further investments in overseas securities will follow the norms for ongoing schemes. On an ongoing basis, the AMC is allowed to invest in overseas securities upto 20% of the average Asset Under Management ('AUM') in overseas securities of the previous three calendar months subject to maximum limit of USD 1 billion per Mutual Fund.

The above limits shall be considered as soft limits for the purpose of reporting only by Mutual Funds on monthly basis as per paragraph 12.19.1.3(d) of SEBI Master Circular for Mutual Funds.

The Mutual Fund may, where necessary will appoint intermediaries as sub-managers, sub-custodians, etc. for managing and administering such investments. The appointment of such intermediaries shall be in accordance with the applicable requirements of SEBI and within the permissible ceilings of expenses.

Timelines for deployment of funds collected in NFO

In line with SEBI Circular no. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2025/23 dated February 27, 2025, deployment of the funds garnered in an NFO shall be made within 30 business days from the date of allotment of units.

In an exceptional case, if the AMC is not able to deploy the funds in 30 business days, reasons in writing, including details of efforts taken to deploy the funds, shall be placed before the Investment Committee.

The Investment Committee, after examining the root cause for delay may extend the timeline by 30 business days.

Portfolio Rebalancing

As per paragraph 2.9 of SEBI Master Circular for Mutual Funds, as may be amended/clarified from time to time, in the event of passive breaches (occurrence of instances not arising out of omission and commission of the AMC), the fund manager is required to carry out portfolio rebalancing within thirty (30) business days. In case the portfolio is not rebalanced within the period of thirty (30) business days, justification in writing, including details of efforts taken to rebalance the portfolio shall be placed before the Investment Committee. The Investment Committee, if it so desires, can extend the timeline for rebalancing up to sixty (60) business days from the date of completion of mandated rebalancing period. In case the portfolio of the scheme is not rebalanced within the aforementioned mandated plus extended timelines, the AMC shall follow the requirements specified under the aforesaid regulation including reporting the deviation to Trustees at each stage.

Short term defensive consideration:

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 in line with paragraph 1.14.1.2(b) of SEBI Master Circular for Mutual Funds and the fund manager will rebalance the portfolio within 30 calendar days from the date of deviation.

Investment Strategy	The scheme will be actively managed. The allocation between various asset classes within the defined range will follow a dynamic asset allocation approach, investing predominantly across asset classes such as equity, fixed income, gold ETFs and silver ETFs. The scheme's portfolio construct will depend on market conditions, global events, broad macroeconomic landscape etc. The equity exposure will be managed dynamically and increased as and when factors are favourable towards the asset class. Equity: The Scheme will follow a bottom up approach to identify individual stocks. The intention is to run a market cap agnostic portfolio with a focus on high quality and high growth companies, i.e. companies with strong fundamentals, good management and having the potential to deliver sustainable growth over a period of time. Diversification: The Scheme aims to maintain a diversified portfolio across multiple sectors and asset classes to reduce concentration risk. It may also refer to proprietary / in-house models that are based on various broad market parameters, including but not limited to: Nifty 500 Price to Earnings Ratio, Gold Silver Ratio etc. These models may be used by the fund manager as deemed appropriate. The Fund manager will look to rebalance the portfolio at regular intervals. The allocation to each asset class will be guided by a comprehensive asset allocation framework that considers market valuations and macroeconomic factors among other indicators. The Scheme may invest in other scheme(s) managed by the AMC or in the scheme(s) of any other mutual fund, provided it is in conformity with the investment objectives of the Scheme and in terms of the prevailing Regulations. Derivatives The Scheme may invest in various derivative instruments which are permissible under the applicable regulations. Such investments shall be subject to the investment objective and strategy of the Scheme and the internal limits if any, as laid down from time to time. These include but are not limited to futures (both stock and index) and options (stock and index). Derivatives are financial contracts of pre-determined fixed duration, whose values are derived from the value of an underlying primary financial instrument such as interest rates, exchange rates, commodities and equities. There are several advantages in using derivatives in the portfolio. The use of derivatives provides flexibility to the Scheme to hedge whole or part of the portfolio. The risks associated with derivatives are similar to those associated with underlying investments. The additional risks of using derivative strategies could be on account of: • Illiquidity; • Potential mispricing of the Futures/Options; • Lack of opportunity; • Inability of derivatives to correlate perfectly with the underlying (Indices, Assets, Exchange Rates); • Cost of hedge can be higher than adverse impact of market movements; • An exposure to derivatives in excess of the hedging requirements can lead to losses; • An exposure to derivatives can also limit the profits from a genuine investment transaction. • The prices which are seen on the screen need not be the same at which execution will take place.
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For detailed risks associated with use of derivatives, please refer paragraph "Scheme Specific Risk Factors"

For further details regarding concepts and examples of derivatives that may be used by the fund manager, please refer to SAI.

Securitisation

Asset securitisation is a process whereby commercial or consumer credits are packaged and sold in the form of financial instruments. A typical process of asset securitisation involves sale of specific Receivables to a Special Purpose Vehicle (SPV) set up in the form of a trust or a company. The SPV in turn issues financial instruments (e.g., promissory notes, pass through certificates or other debt instruments) to investors, such instruments evidencing the beneficial ownership of the investors in the Receivables. The financial instruments are rated by an independent credit rating agency. An Investor's Agent is normally appointed for providing trusteeship services for the transaction.

On the recommendation of the credit rating agency, additional credit support (Credit Enhancement) may be provided in order that the instrument may receive the desired level of rating. Typically the servicing of the Receivables is continued by the seller in the capacity of the Servicer. Cash flows, as and when they are received, are passed onto the investors.

Risk Control

Since investing requires disciplined risk management, the AMC would incorporate adequate safeguards for controlling risks in the portfolio construction process.

The risk control process involves reducing risks through portfolio diversification, taking care however not to dilute returns in the process. The AMC believes that this diversification would help achieve the desired level of consistency in returns. Stock specific risk will be minimized by investing only in those companies that have been analyzed by the Investment Team at the AMC. For investments in debt securities, the AMC aims to identify securities, which offer superior levels of yield at lower levels of risks. With the aim of controlling risks, rigorous and in-depth credit evaluation of the securities proposed to be invested in, will be carried out by the investment team of the AMC. Rated Debt instruments in which the Scheme invests will be of investment grade as rated by a credit rating agency. The AMC will be guided but not limited by the ratings of Rating Agencies such as CRISIL, CARE, ICRA and Fitch or any other rating agencies that may be registered with SEBI from time to time. In case a debt instrument is not rated, investment will be in accordance with Guidelines approved by the Board. Further, all investments in the unrated paper are periodically reviewed by Investment Committee and the Board of AMC & Trustee Company.

The Scheme may also use various derivatives and hedging products from time to time, as would be available and permitted by SEBI, in an attempt to protect the value of the portfolio and enhance Unitholders' interest.

Portfolio Turnover

The Scheme is an open-ended scheme. It is expected that there would be a number of subscriptions and redemptions on a daily basis. Consequently, it is difficult to estimate with any reasonable measure of accuracy, the likely turnover in the portfolio.

Risk Profile of the Scheme	Mutual Fund Units involve investment risks including the possible loss of principal. Please read the Scheme Information Document (SID) carefully for details on risk factors before investment. Please refer to the SID for Scheme Specific Risk Factors.
Plans/Options	The Scheme shall offer two plans viz. Regular Plan and Direct Plan. Direct Plan is only for investors who purchase /subscribe Units in the Scheme directly with the Fund and is not available for investors who route their investments through a Distributor and is offered in accordance with paragraph 2.5 of SEBI Master Circular for Mutual Funds. Each Plan has two Options, viz., Growth Option and Income Distribution cum Capital Withdrawal (IDCW) Option. IDCW Option has the following two facilities: - Payout of Income Distribution cum Capital Withdrawal facility (IDCW-Payout); - Reinvestment of Income Distribution cum Capital Withdrawal facility (IDCW-Reinvestment). Default Option/facility: The investor must clearly specify his/her choice of Option/facility in the application form, in the absence of which, the Default Option/facility would be applicable and the application will be processed accordingly. Default Option: Growth Option (if the investor has not indicated choice between 'Growth' or 'IDCW Option'). Default facility Under IDCW Option: IDCW Reinvestment All plans/options under the Scheme shall have common portfolio. Kindly refer SAI for detailed disclosure on: - Default plans and options; - Treatment of purchase/switch/ Systematic Investment Plans (SIPs)/ Systematic Transfer Plans (STPs) transactions received through distributors who are suspended temporarily or terminated permanently by AMFI. - Treatment of applications under "Direct" / "Regular" Plans; - Other updates
Applicable NAV (after the scheme opens for subscriptions and redemptions)	SUBSCRIPTION/PURCHASE INCLUDING SWITCH-INS:- - In respect of valid application received before 3.00 p.m. on a business day and funds for the entire amount of subscription/ purchase as per the application are credited to the bank account of the Scheme and are available for utilization before the cut-off time, the closing NAV of the day on which the funds are available for utilisation shall be applicable; - In respect of valid application received after 3.00 p.m. on a business day and funds for the entire amount of subscription / purchase as per the application are credited to the bank account of the Scheme and are available for utilization before the cut-off time of the next business day, the closing NAV of the next business day shall be applicable; - However, irrespective of the time of receipt of valid application on a given Business day, where the funds are not available for utilisation before the cut off time on the

	day of the application, the closing NAV of the Business Day on which the funds are available for utilisation before the cut-off time (3:00 p.m.) shall be applicable. For determining the availability of funds for utilisation, the funds for the entire amount of subscription/purchase (including switch-in) as per the application should be credited to the bank account of the scheme before the cut-off time and the funds are available for utilisation before the cut-off time without availing any credit facility whether intra-day or otherwise, by the Scheme. REDEMPTIONS INCLUDING SWITCH-OUTS: 1) In respect of valid applications received upto 3 p.m. on a business day by the Mutual Fund, closing NAV of the day of receipt of application, shall be applicable. 2) In respect of valid applications received after 3 p.m. on a business day by the Mutual Fund, the closing NAV of the next business day shall be applicable. Switch Transactions Valid Switch application will be considered for processing on the earliest day which is a Business Day for both the 'Switch out' scheme and the 'Switch in' scheme. Application for 'Switch in' shall be treated as purchase application and the Applicable NAV based on the cut off time for purchase shall be applied. Application for Switch out shall be treated as redemption application, and the Applicable NAV based on the cut off time for redemption shall be applied.
Minimum Application Amount/ Number of Units	Purchase – Rs. 5,000/- and in multiples of Re. 1/- thereafter. Additional Purchase - Rs. 1,000/- and in multiples of Re. 1/-thereafter. Redemption - Rs. 1,000/- and in multiples of Re. 1/- or account balance whichever is lower.
Dispatch of Redemption Proceeds	Redemption: Within 3 working days of the receipt of the redemption request at the authorised center of PGIM India Mutual Fund.
Benchmark Index	60% of Nifty 500 TRI+ 20% of Crisil Short Term Bond Index + 10% of Domestic prices of Gold + 10% of Domestic prices of Silver.
Dividend Policy	Under the Income Distribution cum Capital Withdrawal option, the Trustee will have the discretion to declare the IDCW, subject to availability of distributable surplus calculated in accordance with the Regulations. Further investors are requested to note that the amounts can be distributed out of investors capital (Equalization Reserve) which is part of a sale price that represents realized gains. The actual declaration of IDCW and frequency will inter-alia, depend on availability of distributable surplus calculated in accordance with the 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 the IDCW will be paid regularly.
Name of the Fund Manager(s)	Mr. Vivek Sharma, Mr. Anandha Padmanabhan Anjeneyan and Mr. Utsav Mehta are the equity fund managers for the scheme and Mr. Puneet Pal is the debt fund manager for the scheme.
Name of the Trustee Company	PGIM India Trustees Private Limited

Performance of the scheme	The Scheme is a new scheme and does not have any performance track record.																	
Additional Scheme Related Disclosures	1. Scheme's Portfolio (top 10 holdings by issuer and fund allocation towards various sectors): - Top 10 holdings by issuer: This is a new Scheme and hence the same is not applicable. - Fund allocation towards various sectors: This is a new Scheme and hence the same is not applicable. 2. Portfolio turnover ratio of the Scheme: This is a new Scheme and hence the same is not applicable.																	
Expenses of the Scheme	New Fund Offer Period and Continuous Offer: -																	
(i) Load Structure	Exit Load: For each purchase of units through Lumpsum / switch-in / Systematic Investment Plan (SIP) and Systematic Transfer Plan (STP), exit load will be as follows: - For Exits within 90 days from date of allotment of units: 0.50%. - For Exits beyond 90 days from date of allotment of units: NIL. The entire exit load (net of Goods and Services Tax), charged, if any, shall be credited to the Scheme. The AMC reserves the right to change / modify the Load structure of the Scheme, subject to maximum limits as prescribed under the SEBI (MF) Regulations and circulars issued thereunder from time to time.																	
(ii) Recurring Expenses	<table><tr><th>Assets under management Slab (In Rs. crore)</th><th>Total expense ratio limits for equity oriented schemes</th></tr><tr><td>on the first Rs.500 crores of the daily net assets</td><td>2.25%</td></tr><tr><td>on the next Rs.250 crores of the daily net assets</td><td>2.00%</td></tr><tr><td>on the next Rs.1,250 crores of the daily net assets</td><td>1.75%</td></tr><tr><td>on the next Rs.3,000 crores of the daily net assets</td><td>1.60%</td></tr><tr><td>on the next Rs.5,000 crores of the daily net assets</td><td>1.50%</td></tr><tr><td>On the next Rs.40,000 crores of the daily net assets</td><td>Total expense ratio reduction of 0.05% for every increase of Rs.5,000 crores of daily net assets or part thereof</td></tr><tr><td>On balance of the assets</td><td>1.05%</td></tr></table>		Assets under management Slab (In Rs. crore)	Total expense ratio limits for equity oriented schemes	on the first Rs.500 crores of the daily net assets	2.25%	on the next Rs.250 crores of the daily net assets	2.00%	on the next Rs.1,250 crores of the daily net assets	1.75%	on the next Rs.3,000 crores of the daily net assets	1.60%	on the next Rs.5,000 crores of the daily net assets	1.50%	On the next Rs.40,000 crores of the daily net assets	Total expense ratio reduction of 0.05% for every increase of Rs.5,000 crores of daily net assets or part thereof	On balance of the assets	1.05%
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	Actual expenses for the previous financial year: This Scheme is a new scheme and hence the same is not applicable. The maximum limit of recurring expenses that can be charged to the Scheme would be as per Regulation 52 of the SEBI (Mutual Funds) Regulation, 1996. Investors are requested to read – “Section – Annual Scheme Recurring Expenses” in the SID.	
Tax treatment for the Investors (Unitholders)	Investors are advised to refer to the details in the Statement of Additional Information and also independently consult their tax advisors.	
Daily Net Asset Value (NAV) Publication	The AMC will calculate and disclose the first NAV not later than 5 business days from the date of allotment. Subsequently the AMC will calculate and update the NAV of the Scheme on all the Business Days. The AMC shall update the NAVs on the website of the AMC (https://www.pgimindia.com/mutual-funds) and of the Association of Mutual Funds in India – AMFI (https://www.amfiindia.com) before 11.00 p.m. on every Business Day.	
For Investor Grievances please contact	Name and Address of Registrar	Name, address and telephone number of PGIM India Mutual Fund
	KFin Technologies Limited Unit- PGIM India Mutual Fund 9th Floor, Capital Towers, 180, Kodambakkam High Road, Nungambakkam, Chennai – 600034.	Mr. Ranjit Venugopal, PGIM India Mutual Fund Investor Relations Officer 1 D, First Floor, Century Plaza No. 560-561 – Anna Salai, Teynampet Chennai – 600018 Tel: +91-44-40745800.
Unitholders' Information	i) Accounts Statements: 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). 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. 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. ii) Annual Financial Results: The Scheme wise annual report or an abridged summary thereof shall be provided 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). Scheme wise annual report shall be displayed on the website of the AMC (https://www.pgimindia.com/mutual-funds) and Association of Mutual Funds in India (www.amfiindia.com). In case of unitholders whose email addresses are available with the Mutual Fund, the scheme annual reports or abridged summary would be sent only by email. Unitholders whose email addresses are not available with the Mutual Fund will have an option of receiving a physical copy of scheme annual reports or abridged summary by post/courier.	

The AMC shall provide a physical copy of scheme annual report or abridged summary without charging any cost, upon receipt of a specific request from the unitholders, irrespective of registration of their email addresses. Physical copies of annual report will also be available to unitholders at the registered office at all times. The 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.

The AMC shall publish an advertisement every year, in the all India edition of at least two daily newspapers, one each in English and Hindi, disclosing the hosting of the scheme wise annual report on the AMC website (<https://www.pgimindia.com/mutual-funds>) and on the website of AMFI (www.amfiindia.com).

iii) Monthly/Half -yearly Portfolio:

The AMC, shall disclose portfolio (along with ISIN) in a user friendly & downloadable spreadsheet format, as on the last day of the month/half year for the scheme(s) on its website
 Monthly Portfolio - <https://www.pgimindia.com/mutual-funds/disclosures/Portfolios/Monthly-Portfolio> and Half yearly portfolio - <https://www.pgimindia.com/mutual-funds/disclosures/Financial-Statements/Scheme-Financials> and on the website of AMFI (<https://www.amfiindia.com>) within 10 days from the close of each month/half year.

In case of unitholders whose email addresses are registered with, PGIM India Mutual Fund shall send via email both the monthly and half yearly statement of scheme portfolio within 10 days from the close of each month/half year respectively.

The AMC shall publish an advertisement every half-year, in the all India edition of at least two daily newspapers, one each in English and Hindi, disclosing the hosting of the half yearly statement of the schemes portfolio on the AMC's website <https://www.pgimindia.com/mutual-funds> and on the website of AMFI (<https://www.amfiindia.com>). The AMC shall provide physical copy of the statement of scheme portfolio without any cost, on specific request received from a unitholder.

APPLICATION FORM

PGIM INDIA MULTI ASSET ALLOCATION FUND

(Multi Asset Allocation Fund - An open ended scheme investing in Equity and Equity related instruments, Debt & Money Market Instruments, Gold ETFs & Silver ETFs)

Offer for Units of Rs. 10/- Per Unit for cash during the New Fund Offer Period and at NAV based prices upon re-opening

NFO Dates: November 11, 2025 to November 25, 2025

(To be Used / Distributed along with Scheme Information Document)

Investors must read the Key Information Memorandum, Instructions and Product Labelling before completing this Form. Please read the instructions before filling up the Application Form. Tick (✓) whichever is applicable, strike out whichever is not required



PGIM
India Mutual Fund

Application No. _____

This product is suitable for investors who are seeking: - Capital appreciation over a long period of time - Investments in a diversified portfolio of equity & equity related instruments, Debt & Money Market Instruments, and Gold ETFs & Silver ETFs. * Investors should consult their financial advisors if in doubt about whether the product is suitable for them.	Scheme Riskometer The risk of the scheme is very high	Benchmark Riskometer AUM Tier 1 Benchmark - 35% of Nifty 500 TRF + 20% of Crisil Short Term Bond Index + 10% of Domestic price of Gold + 10% of Domestic price of Silver The risk of the benchmark is very high
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The Product labeling assigned during the NFO is based on internal assessment of the scheme characteristics in model portfolio and the same may vary post NFO when actual investments are made.

1. DISTRIBUTOR INFORMATION					
ARN code	RIA code	ARN / RIA Name	Sub-broker ARN code	Sub-broker code *	EU/PII
ARN -	RIA -		ARN -		
*Employee Unique Identification Number: This code by ARN holder. Upfront contribution shall be paid directly by the investor to the ARN-registered Distributors based on the investors' assessment of various factors including the services rendered by the distributor. Declaration for 'distribution only' transaction only where EU/PII box is left blank. I/We hereby confirm that the EU/PII box has been intentionally left blank by me/us as that transaction is executed without any transaction or advice by the employee relationship management person or the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee relationship management person of the distributor/sub broker. By mentioning RIA code, I/We authorize you to share my/our transactions data fees portfolio holdings/ NAV details under Direct Plan of scheme(s) managed by you with the Investment Advisor.					
Distributor ARN Code/Name		Sub-broker ARN Code/Name		Distributor Code/Name	

2. EXISTING FOLIO NUMBER	GO GREEN INITIATIVE
Folio No. _____ The details in our records under the folio number mentioned alongside will apply for this application.	☐ Opt-in - Physical ☐ Opt-out - Email Refer instruction no. 11

3. MODE OF HOLDING (Please ✓) ☐ Single ☐ Joint ☐ Anyone or Survivor ☐ Joint (Default option)

4. DEMAT ACCOUNT DETAILS	
Kindly fill the below details for settlement of units in demat mode	
National Securities Depository Limited Depository Participant Name _____ DP ID / IN _____ Beneficiary A/c No. _____	Central Depository Services (India) Limited Depository Participant Name _____ Beneficiary A/c No. _____

5. SOLE / FIRST APPLICANT'S DETAILS	
☐ Mr ☐ Ms ☐ Mrs ☐ MIS (Please ✓) * Mandatory field	
Name* (As per PAN/ID records) _____ Gender (Please ✓) ☐ Male ☐ Female	
Date of Birth (incorporation)* _____ Proof of DOB of Minor enclosed (Please ✓) ☐ Passport ☐ Birth Certificate ☐ Other _____	
Father's Name _____	
Mother's Name _____	
PAN* (PAN copy mandatory) _____ KYC / KIN _____	
Legal Entity Identification* _____ *Applicable for Non-Individuals only	
Guardian Name (As per PAN Card) (In case of Minor) / POA (Contact Person For Non-Individuals / POA Holder Name) _____ Refer instruction no. 5	
Father's Name _____	
Mother's Name _____	
Date of Birth* _____ PAN* (PAN copy mandatory) _____	
KYC / KIN _____ ☐ Natural Guardian ☐ Legal Guardian* * Enclose supporting documents	



ACKNOWLEDGMENT SLIP (To be filled in by the investor)

Application No. _____

Name _____ PAN _____

An Application for scheme: **PGIM INDIA MULTI ASSET ALLOCATION FUND**

Along with Cheque / DD No. / UTR No. _____ Dated: _____

Drawn on (Bank) _____ Amount: _____

Signature, Stamp & Date

Mailing Address (As per KYC records)			
		City	
Pincode	Date	Country	

I/we confirm, below contact details are of (Please select (✓) any) ☐ Primary holder ☐ *Family

Mobile No. Email ID

* "Family" for this purpose shall mean self, spouse, dependent children and dependent parents.

Phone (Off) Fax No. Phone (Res)

Overseas Address (Mandatory in case of NRI/FII applicant, in addition to mailing address)

Pincode Date Country

ADDITIONAL KYC DETAILS

Tax Status: (Please ✓)

☐ Resident Individual ☐ NRI-Repatriation ☐ NRI-Non Repatriation ☐ Partnership ☐ Trust ☐ HUF ☐ AOP ☐ Minor through guardian ☐ Company

☐ FII ☐ PFD ☐ Body Corporate ☐ Society/Club ☐ Sole Proprietorship ☐ Non-Profit Organisation ☐ Financial Institution ☐ NBFC ☐ Others

Non-Profit Organisation (NPO):

We are falling under "Non-Profit Organisation" (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) ☐ Yes ☐ No

If yes, please quote Registration No. of Corporate portal of NRI Aayoj ☐ Enclosed relevant documentary proof evidencing the above definition.

If not, please register immediately and conform with the above information. Failure to get above confirmation or registration with the portal as mandated, wherever applicable will force MF/AMC to register your entity name in the above portal and may report to the relevant authorities as applicable. We advise aware that 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 make or collect such fines/charges in any other manner as might be applicable.

Occupation:

☐ Private Sector Service ☐ Public Sector Service ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired

☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others

Gross Annual Income:

☐ Below 1 Lacs ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs-1 crore ☐ >1 crore

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

For Individuals (Please ✓): ☐ I am Politically Exposed Person (PEP) ☐ I am Related to Politically Exposed Person (RPEP) ☐ Not applicable

For Non-Individuals (Please ✓): (Please attach mandatory Ultimate Beneficial Ownership (UBO) declaration form)

(i) Foreign Exchange / Money Changer Services ☐ Yes ☐ No (ii) Gaming / Gambling / Lottery / Casino Services ☐ Yes ☐ No (iii) Money Lending / Financing ☐ Yes ☐ No

* 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 DETAILS

FATCA Declaration No.: _____ *** Refer instruction no. 8 (FATCA & CRS instructions)**

FATCA & CRS Details: For individuals (Mandatory), Non-Individual - investors should mandatorily fill separate FATCA/CRS Detail Form

The below information is required for all applicant(s) guardian, Is the applicant(s) guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? ☐ Yes ☐ No

If Yes, please provide the following information (Mandatory):

* Please indicate all countries in which you are a resident for tax purposes, associated Taxpayer identification Number and identification type. If not applicable, provide a copy of the country's equivalent ID or number.

Country of tax resident	1	2	3
Tax Payer Ref ID No.	1	2	3
Identification Type	1	2	3

In case Country of Tax Residency is only India then details of Country of Birth & Nationality need not be provided. In case Tax Identification Number is not available, kindly provide its functional equivalent.

Country of Birth: _____ City of Birth: _____ Country of Nationality: _____

If TIN is not available, Please ✓ the reason A, B or C: Reason ☐ A ☐ B ☐ C

SECOND APPLICANT'S DETAILS

☐ Mr ☐ Ms ☐ Mrs ☐ M/S (Please ✓) *** Mandatory field**

Name* (As per PAN/MTD records) _____ Gender (Please ✓) ☐ Male ☐ Female

Father's Name _____

Mother's Name _____

PAN* (PAN copy mandatory) _____ DOB* _____ KYC / KIN _____

I/we confirm, below contact details are of (Please select (✓) any) ☐ Primary holder ☐ *Family

Mobile No. Email ID

* "Family" for this purpose shall mean self, spouse, dependent children and dependent parents.

Phone (Off) Phone (Res)

ADDITIONAL KYC DETAILS

Tax Status: (Please ✓)

☐ Resident Individual
 ☐ NRI-Resident
 ☐ NRI-Non Resident
 ☐ Partnership
 ☐ Trust
 ☐ HUF
 ☐ AOP
 ☐ Minor through guardian
 ☐ Company
 ☐ FPO
 ☐ Body Corporate
 ☐ Society/Club
 ☐ Sole Proprietorship
 ☐ Non Profit Organisation
 ☐ Financial Institution
 ☐ NBFC
 ☐ Others

Occupation:

☐ Private Sector Service
 ☐ Public Sector Service
 ☐ Government Service
 ☐ Business
 ☐ Professional
 ☐ Agriculturist
 ☐ Retired
 ☐ Housewife
 ☐ Student
 ☐ Forex Dealer
 ☐ Others

Gross Annual Income:

☐ Below 1 Lac
 ☐ 1-5 Lacs
 ☐ 5-10 Lacs
 ☐ 10-25 Lacs
 ☐ >25 Lacs-1 crore
 ☐ >1 crore

CR Not work (Mandatory for Non-Individuals) ? _____ as on _____ (Not older than 1 year)

For Individuals (Please ✓): ☐ I am Politically Exposed Person (PEP) ☐ I am Related to Politically Exposed Person (RPEP) ☐ 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 DETAILS

* Refer instruction no. II (FATCA & CRS Instructions)

FATCA Declaration No: _____ **Are you a Tax-Resident of any Country other than India?** ☐ Yes ☐ No

FATCA & CRS Details: For individuals (Mandatory), Non-Individuals should mandatorily fill separate FATCA/CRS Detail Form

The below information is required for all applicant(s) question, is the applicant(s) guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? ☐ Yes ☐ No

If Yes, please provide the following information (Mandatory)

Please provide all countries in which you are a resident for tax purposes, according to Taxpayer identification Number and identification type. If not applicable, provide a copy of the country's equivalent ID number

Country of tax resident	1	2	3
Tax Payer Ref ID No.	1	2	3
Identification type	1	2	3

In case Country of Tax Residency is only India then details of Country of Birth & Nationality need not be provided. In case Tax identification number is not available, entity provide its functional equivalent.

Country of Birth: _____ City of Birth: _____ Country of Nationality: _____

If TIN is not available, Please ✓ the reason A, B or C: Reason ☐ A ☐ B ☐ C

THIRD APPLICANT'S DETAILS

☐ Mr ☐ Ms ☐ Mrs ☐ MRS (Please ✓)

* Mandatory field

Name² (As per PAN/ITD records): _____ **Gender (Please ✓)** ☐ Male ☐ Female

Father's Name: _____

Mother's Name: _____

PAN² (PAN copy mandatory): _____ **DOB²:** _____ **CVVC / KN:** _____

If we confirm, below contact details are of (Please select (✓) any) ☐ Primary holder ☐ Family _____

Mobile No: _____ **Email ID:** _____

* "Family" for this purpose shall mean self, spouse, dependent children and dependent parents.

Phone (OR): _____ **Phone (Res):** _____



ONE TIME MANDATE FORM FOR NACH / ECS / AUTO DEBIT / LIUMPSUM / SIP

(Mandatory field)

UMRN: _____ **Date:** _____

Sponsor Bank Code: CITI000PGW **Utility Code:** CITI 00002000000037

CREATE ☒ **MODIFY** ☐ **CANCEL** ☐

I/We hereby authorize **PGIM INDIA MUTUAL FUND** **to debit (Please ✓)** **SB / CA / CC / SS-NRE / SS-NRD / Other**

Bank a/c number: _____

With Bank: _____ **IFSC:** _____ **MICR:** _____

an amount of Rupees: _____ **₹** **IN Figures**

FREQUENCY: ☒ Mthly ☒ Qly ☒ H-Yrly ☒ As & When presented **DEBIT TYPE:** ☒ Fixed Amount ☒ Maximum Amount

Reference - 1: _____ **Phone No:** _____

Reference - 2: _____ **Email ID:** _____

I agree for the debit of mandate processing charges by the bank where I am authorizing to debit my account as per latest schedule of charges of the bank. Maximum period of validity of this mandate is 40 years only.

PERIOD:

From: _____ To: _____

1. Signature of the account holder 2. Signature of account document holder 3. Signature of Bank account holder

Name of the account holder

Name of account document holder

Name of Bank account holder

- This is to confirm that the decision between credit/debit is made by the user/authorized entity/Corporate/Individual account
- I have understood that I am authorizing to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the User entity/Corporate/Individual account holder/authorized entity
- Maximum period of validity of this mandate is 40 years only

8. SIP INVESTMENT

(Refer instruction 7)

Where would like to invest to meet My/Our financial goals -

☐ Child's Education
☐ Retirement Planning

☐ Child's Marriage
☐ Dream Home

☐ Wealth Creation
☐ Dream Vacation

(Default Option)

To Scheme	Plan	Growth*	IDCW Payout	IDCW Reinvestment*	Amount
PGIM INDIA MULTI ASSET ALLOCATION FUND	☐ Regular ☐ Direct	☐	☐	☐	

Working SIP Amount (figure) _____ (words) _____

SIP Frequency (Please ✓ any one): ☐ Monthly ☐ Quarterly SIP Date: _____ (Any date of the month & quarter) No. of instalment _____

Start Date: _____ End Date: _____ Maximum duration of 40 years. (Note: Working tenure should be less than the working period)

☐ OTM Debt Mandate is already registered in the folio. Please fill Unique Mandate (UMRN)* _____

☐ SIP THROUGH AUTO DEBIT (OTM) (Please also fill and attach the SIP OTM Form available on page no. 8)

☐ SIP THROUGH POST-DATED CHEQUE Second & subsequent instalment cheque details

Cheque No. _____ From To _____

If Start Date is not mentioned, next applicable SIP cycle date would be applied for processing

Cheque Dates _____ From To _____

☐ Auto Renewal for SIP Registration (available only with new SIP Start Date) _____ End Date _____

9. PAYMENT DETAILS

Payment Type (Please ✓) ☐ Third Party Payment (Please attach Third Party Payment Declaration Form) (Please refer instruction 7)

Investment Amount: _____ DD Charges (if applicable): _____ Total Amount: _____

Mode of Payment ☐ Cheque ☐ Demand Draft ☐ Electronic Fund Transfer ☐ Existing OTM

Cheque/DD Number: _____ Date: _____ Drawn on Bank / Branch: _____

UMRN No. _____ (Existing OTM) - UTR: _____ date: _____

10. SIP TOP UP

☒ SIP Top Up (Optional) - Available only for investments effected through OTM

Top Up Amount: _____ Top Up Frequency (✓) ☐ Half Yearly* ☐ Yearly

☐ Top Up to continue SIP _____ maximum duration of 40 years (Please ✓ any 1) OR: ☐ Top Up to continue till SIP amount reached* _____

* SIP Top Up will cease once the mentioned amount is reached # It is the date from which SIP Top Up amount will cease * Default option if not selected

11. NOMINATION DETAILS (If you wish to appoint multiple nominee, please see the multiple nomination form available or visit our website to update nomination.)

Nominee Name: _____

Address: _____

Date of Birth (in case of Minor): _____ Relationship with applicant: _____ Nominee (%) _____

Name of Guardian (non-minority): _____

Mobile Number: _____ Email ID: _____

Identification number ☐ PAN ☐ Aadhar (last 4 digits) ☐ Driving License ☐ Passport (must be provided for NRIs) ☐ Number _____

I/We want the details of my / our nominee to be printed in the statement of holding, provided to me/ us by the AMC as follows:

☐ Name of nominee(s) ☐ Nomination: Yes / No

☐ Declare that I/We do not wish to appoint a nominee for our investments in the above folio. I/We understand that in the event of death of all unit holder(s) in the folio, the legal heirs for the unit holders would need to submit all requisite documents for transferring the units in favor of the legal heir based on applicable legal / regulatory requirements at the stage of initiation of the transmission request.

12. DECLARATION AND SIGNATURES

I/We hereby confirm and declare as under:- I/We have read and understood the contents of the Statement of Additional Information of PGIM India Mutual Fund and the Scheme Information Document(s) / Key Information Memorandum of the respective Scheme(s) and Addenda thereto, issued from time to time and the instructions. I/We, hereby apply to the Trustee of PGIM India Mutual Fund for allotment of units of the respective Scheme(s) of PGIM India Mutual Fund, as indicated above and agree to abide by the terms, conditions, rules and regulations of the relevant Scheme(s). I/We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I/We declare that I am/We are authorized to make this investment and the amount invested in the Scheme is through legitimate sources only and is not assigned for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directive or any other applicable laws enacted by the Government of India or any Statutory Authority. 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 efficient marketing of various Mutual Funds from amongst which the Scheme(s) is/are being recommended to me/us. I/We declare that the information given in this application form is correct, complete and truly stated. In the event of my/our not fulfilling the KYC process to the satisfaction of the AMC/PGIM India Mutual Fund, I/We hereby authorize the AMC/PGIM India Mutual Fund to redeem the units against the funds invested by me/us at the applicable NAV as on the date of such redemption. I/We agree that PGIM India Mutual Fund can debit from my Folio Transaction Charges as applicable. I/We agree to notify PGIM India Asset Management Private Limited immediately in the event the information in the self-certification changes. For investors investing in Direct Plan: I/We hereby agree that the AMC has not recommended or advised me/us regarding the suitability or appropriateness of the products/scheme(s). Applicable to Minor Investors: I/We hereby declare that I/We do not have any existing Minor investments which together with the current application will result in aggregate investments exceeding Rs. 50,000 in a year. Applicable to NRIs: I/We confirm that I am/We are Non-Resident(s) of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FOR Account(s). FATCA and CRS Declaration: I/We hereby acknowledge and confirm that the information provided in this form 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 shall be liable for it. I/We also undertake to keep you informed in writing about any change/modification to the above information in future and also undertake to provide any other additional information as may be required at your end. I/We hereby authorize you to disclose, share, sell in any form, mode or manner, all or any part of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees (The Authorized Parties) or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax revenue authorities and other investigation agencies without any obligation of advising me/us of the same.

(SIGNATURES)

1st Applicant Signature / Guardian Signature / POA Signature	2nd Applicant Signature / POA Signature	3rd Applicant Signature / POA Signature
--	---	---

Date: _____

Place: _____

GENERAL GUIDELINES FOR NFO APPLICATION FORM

- | | |
|---|---|
| <p>a. Please tick the Scheme Information Document(s) you wish to download from the Scheme carefully before investing.</p> <p>b. Please furnish all information marked as 'MANDATORY' in the absence of any mandatory information, the application would be rejected.</p> <p>c. The application form should be completed in ENGLISH and in BLOCK LETTERS.</p> <p>d. 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'.</p> <p>e. If the Scheme name in the application form and on the paystent instrument are different, the application may be processed and units allotted at applicable NAV of the scheme mentioned in the application / instrument (no way signed by investor).</p> <p>f. Any over-writing / changes made while filling the form must be authenticated by canceling the original entry. In order to correct details are ensured that all applicants counter sign and date each correction.</p> | <p>g. Investor must write the application form number / folio number on the reverse of the cheque / demand draft.</p> <p>h. FATCA Declaration: Individual investors, please fill in FATCA / CTD assurance and attach along with Application form. Non-individual investors, please fill in LBO form along with FATCA / CTD assurance and attach along with Application form available on our website.</p> <p>i. In case of new individual investors who are not KYC compliant, please fill the KYC form issued by Central KYC Registry (CKYC) appended in the form and also available on our website.</p> <p>j. In case of existing individual and non individual investors who are KYC compliant, please provide the KYC acknowledgement, issued by the KYC Registration Agency.</p> <p>k. Please strike off sections that are not applicable.</p> |
|---|---|

INSTRUCTIONS FOR NFO APPLICATION FORM

CONTRIBUTION TO IMPROVEMENT

4. Upfront commission shall be paid directly by the investor to the AIFM registered Distributors based upon the investors assessment of the various factors including the service rendered by the distributor.
5. Plasma member (DCEP) in case the application is not routed through any distributor.
6. Pursuant to SEBI Circular dated September 15, 2012, mutual funds have created unique identity number of the employee/ relationship manager/ sales person of the distributor interacting with the investor for the sale of mutual fund products. In addition to the AIFM Registration Number (ARN) of the distributor, The employee/ unique identification number is referred as "EULN". EULN aims to assist in tracking the pattern of on-going sales by the employee/relationship manager/ sales person across the employment of the distributor or his/her sub broker. Granting of EULN is mandatory in case of advisory transactions.
7. Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column "Sub broker ARN code" separately provided, in addition to the current address of affixing the Internal code issued by the main AIFM holder in the "Sub broker code" as allotted by AIFM holder's country and the EULN of the Sales Person (if any) in the EULN column.
8. Contributions are advised to ensure that they fill in the ARN code, if case they are a Registered Investment Advisor.
9. Investors are requested to note that EULN is applicable for transactions such as Purchases, Switched, Redemptions or SIP and EULN is not applicable for transactions such as redemptions under S-R SIP / DMR / GDM Redemptions, Rollover, SIP Registration.
10. Investors are requested to note that EULN is largely applicable to sales persons or not individual AIFM holders only (whether acting in the capacity of the main distributor or sub broker). Further, EULN will not be applicable for overseas distributors who comply with the requirements as per AIFM Circular CM AIFM-04/2015 dated, July 15, 2015.

2. EXISTING INVESTORS OF PIONEER MEDIA MUTUAL FUND (PMMF)

- If you are an existing member please fit your existing foil number, so the left foil stays in the same slot. If it got cocked, then this foil number will be changing.

1. MODE OF HOLDING

4. **UNIT HOLDING OPTION** (Parent / Non-Denmat/Stock)
 Investors can hold units in Denmat / Non-denmat mode. In case Denmat account details are not provided or details of DPO (S) / Sec ID, provided are incorrect or Denmat account is not activated or not in active status, the units would be allotted in non-denmat mode.
5. **Statement of Accounts** shall be sent to investors who are allotted units in non-denmat mode.
6. **Units** have a standardized form are easily translatable with effect from October 01, 2017, except units held in Denmat. All savings scheme during the lock-in period.

I. APPLICANT'S INFORMATION

1. Please furnish names of all applicants. The name of the Sole First Applicant must be mentioned in the same manner in which it appears in the Indian Tax PAN card. Please note the following:
 - in case the applicant is a non-individual investor, the Contact Person's name should be stated in the space provided (Name of Guardian / Contact Person)
 - in case the applicant is a minor, the Guardian's name should be stated in the space provided (Name of Guardian / Contact Person). It is mandatory to provide the minor's date of birth in the space provided.
 - in case the application is being made on behalf of a minor, he / she shall be the Sole Investor Beneficiary. There shall be no joint account with a minor shareholder.
2. As per mutual practice, Primary Nodes are required to provide their Email Address and Mobile number for ease of communications and to prevent fraudulent transactions.
3. If there is more than one applicant but the mode of holding is not specified, the same should be stated as Joint.
4. Please indicate the tax status of the each applicant at the time of investment. The abbreviations used in this section are:
MFI: Non-Resident Indian Individual, FIC: Person of Indian Origin, FI: Person of Indian Ancestry
NBO: Non Government Organization, AOI: Association of Persons, BOI: Body of Individuals, HUF: Hindu Undivided Family.
5. Where the investment is on behalf of a letter by the Guardian:
 - The Minor shall be the RPI and sole holder in the account.
 - No joint holders are allowed. In case an investor provides joint bank 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 in 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 a) school leaving certificate / mark sheet of Higher Secondary board or respective states, India, (certified) or c) Residence of the minor or 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 necessary sales and/or documents are not provided, the application is liable to be rejected without any information to the applicant.
- The form can be in the name of minor or guardian with minor as joint.
- PGIC holds Mutual Fund has decided to restrict subscriptions from United States persons (U.S. persons) as defined under the extent law of the United States of America and Residents of Canada in the schemes of PGIC holds Mutual Fund. Any individual who is a foreign national or any entity that is not an Indian Resident under the Foreign Exchange Management Act, 1999, except where registered with SEBI as a FPI, Non-Resident Indians Residing in the Financial Action Task Force (FATF) Non-Compliant Countries and Territories (NCR/NT) & Overseas Corporate Bodies.
- **KYC Requirements and Details:**
Please inform PAN & KYC details for each applicant/holder, including the Guardian and/or Power of Attorney (POA) holders as explained in the below points:
- **PAN**
It is mandatory for all investors (including guardians, joint holders, MFOs and power of attorney holders) to provide their returns the Permanent Account Number (PAN), and also submit a photocopy of the PAN card at the time of purchase of Units except for investors who are exempted from PAN requirement, please refer to KYC Form for exemption of PAN requirement.
 - **KNOCK YOUR CUSTOMER (KYC)**
Individual client who has registered under Central KYC Records Registry (CKYCR) has to fill the 14 digit KYC identification Number (KIN) in application form as per AaIFI circular 135/EP/2018-17. To download Common KYC Application Form, please visit our website www.pgimutual.com.
 - **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/MPED/2018/20 dated November 13, 2018 has prescribed that the Mutual Funds AMC should capture KYC information for sharing with CKYCR as per the KYC template prescribed by CERSAI in accordance with the attached SEBI Circulars and attach valid practice guidelines for representation of KYC forms with effect from February 1, 2017.
 - Individual investors who have opted 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 KYC Form to the Mutual Fund AMC.
 - Individual investor who ties up with KRA KYC Firm, should provide additional - missing information using Supplementary KYC Form or fill KYC Form.
 - Details of investors shall be uploaded on the system of CKYCR with a 14 digit unique KYC identifier (KIN) will be generated for such customer.
 - New investors, who have completed KYC process & have obtained PAN may quote their KIN in the application form instead of submitting KYC Form/ Supplementary KYC Form.
 - AMC/ Mutual Fund shall use the KIN of the investor to download the KYC information from CKYCR system and update to 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 CKYCR Form and Supplementary KYC Form are available at investor Service Centre (ESC) of PGIC Mutual Fund and on its website www.pgimutual.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).
 - **More Information**
With effect from October 30, 2012, where the aggregate of the long term investments (first purchase & additional purchase) and short investments by an investor in a financial year is > Rs.1 lakh does not exceed Rs. 50,000/- it shall be exempt from the requirement of PAN. However, requirements of Know Your Customer (KYC) shall be mandatory.
Accordingly, investors seeking the above exemption for PAN still need to submit the KYC Acknowledgement irrespective of the amount of investment. This exemption will be available only to MFO investment made by the individuals being main clients (including HUFs, joint holders, minor with living guardian and sole proprietary firms) PMS, MFUs, GPs and other categories of investors will not be eligible for the exemption.
- **Contact Information**
- Please furnish the full postal address of the Sole/ First Applicant with PAN/Misc (Good) and complete contact details. P.O. Box address is not sufficient.
 - Please state that at communication i.e. Account statement, Annual Report, News Letters will be sent via email, if the e-mail id of the investor is provided in the application form. The Account statement will be encrypted with a password before sending the same to the registered email id of the subscriber/sole/solo/sole, if not providing the Account Statement documents sent via email, the subscriber may subscribe to the AMC Register and ask for a physical copy.
 - Overseas address is mandatory for NRI/PIO investors.
- Instructions for LEB**
As per the RBI circular ref:201220-2142, obtaining the Legal Entity Identifier is mandatory for all non-residents and it should be obtained in any financial transactions of Rupee Crores and above raised through RGS/NIFTY w.e.f 1st April 2021. It is applicable for all purchases (investor/retailer), redemption /dividend /dividend payouts (investor/retailer).
- **BANK DETAILS**
- Please furnish complete Bank Account Details of the Beneficial Applicant. This is a mandatory requirement and applications not carrying bank account details shall be rejected. Bank details provided in the application form will be considered as the default Bank Details for sending redemption proceeds/NAV/Dividend.

- Please provide your complete Core Banking Account Number, if available, in your Bank Memo in the Application Form. In case you are not aware of the Core Banking Account Number, kindly check the same with your banker.
- Please attach a original cancelled cheque and if your investment instrument is not from the same bank account mentioned in the Application form.
- For more Mutual Fund sub-investor to verify the Redemption and IDCW proceeds through electronic mode, whenever sufficient bank account details of the unit holder are available.

7. INVESTMENT/PAYMENT DETAILS

Investment of Direct Plan:-

The AMC has introduced a separate plan for direct investments (i.e. investments not routed through an AMFI registered fund (RPM, NRI, etc.) (hereinafter referred to as 'Direct Plan') with effect from January 1, 2013 (effective date).

- Direct Plan is only for investors who purchase/subscribe Units in a Scheme directly with the Fund and is not available for investors who make their investments through a Distributor.
- Investors may please note that the Direct Plan under the Schemes is meant for investors who undertake the capital market, investment and the risk associated therewith. The risk associated with the investments in the Schemes vary depending upon the investment objective, asset allocation and investment strategy. The Schemes and the investments may not be suited for all categories of investors. The AMC believes that investors investing under the Direct Plan of the Schemes are aware of the investment objective, asset allocation, investment strategy, risks associated therewith and other features of the Schemes and has taken an informed investment decision. Please note that Scheme Information Document(s), Statement of Additional Information, Key Information Memorandum or any other advertisement and by contents are for information only and do not constitute any investment advice or solicitation or offer for sale of units of the Schemes from the AMC.
- All Options/Sub-Options offered under the Scheme/plan are referred as 'Regular Plan' will also be available for subscription under the Direct Plan. That, from the Effective Date, there shall be 2 Plans available for subscription under the Schemes viz., Regular Plan and Direct Plan.
- Investors subscribing under Direct Plan of the Schemes should indicate the Scheme/Plan name in the application form as 'Scheme Name - Direct Plan' form e.g. 'PGM India Multi Asset Allocation Fund Direct Plan'. Investors should also indicate 'Direct' in the AMC column of the application form. However, in case Distributor role is mentioned in the application form, our 'Direct Plan' is indicated against the Scheme name, the Distributor role will be ignored and the application will be processed under Direct Plan.
- Please note, where application is received for Regular Plan without Distributor role or 'Direct' mentioned in the AMC column, the application will be processed under Direct Plan.
- Please indicate the Option/Plan under which you want to invest. Also indicate your choice of Payout or Income Distribution cum Capital Withdrawal option or Reinvestment or Income Distribution cum Capital Withdrawal option. If any of the information is left blank, the default option will be applicable.
- Payment may be made only by Cheque or Bank Draft or Electronic Fund Transfer. Cheque/Draft should be drawn in favour of the PGM India Multi Asset Allocation Fund and crossed/Account Payable only.
- Please tick and fill in the appropriate section based on the type of investment i.e. LUMP SUM or Micro investment.
- Third Party payment will not be accepted. In case of exceptions (as per AMFI Circular) to third party payment, please fill the Third Party Declaration Form.
- Third Party Payment shall mean payment made through an instrument issued from an account other than that of the beneficiary investor. In case of payment instruments issued from a joint bank account, the first named applicant/investor must be one of the joint holders of the same account from which the payment instrument is issued. Related persons means such persons as may be specified by the AMC from time to time.

The investors making an application under the exceptional cases are required to comply with the following, without which their applications for subscriptions for units will be rejected/no process.

- Mandatory KYC compliance of the investor and the person making the payment, in order to determine the identity of the investor and the person making the payment.
- Submit a signed, photocopied, Third Party Payment Declaration Form and its person making the payment i.e. the Third Party, giving details of the bank account from which the payment is made and the relationship of the Third Party with the beneficiary. (This declaration form is available at www.pgimindia.com)
- Submit a cancelled cheque (all or copy of bank statement) (past date page mentioning bank account number, account holder's name and address of such other document as the AMC may require for verifying the source of funds to ascertain that funds have been received from the investor's account only.

For identifying Third Party Payments, investors are required to comply with the requirements specified below:

- Payment by Cheque:** An investor at the time of former purchase must provide the details of pay-in bank account (i.e. account from which a subscription payment is made) and pay-out bank account (i.e. account into which redemption/IDCW proceeds are to be paid), distribution of third party cheques by the AMC. Registrars will be on the look of either matching or pay-in bank account details with registered pay-out bank account details or by matching the bank account number/signature of the first named investor with the remittance number/signature available on the cheque. If the remittance account number is not pre-printed on the cheque and signature of the cheque does not match with signature on the application, then the first named applicant/investor should submit any one of the following documents:
 - a copy of the bank passbook or a statement of bank account having the name and address of the account holder and account number.
 - a letter (in original) from the bank on the bank's letterhead certifying that the investor maintains an account with the bank, along with information like bank account number, bank branch/account type, the MICR code or the Branch & IFSC Code (where available).
 In respect of (i) above, it should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number. Investors should note that where the bank account numbers have changed on account of the implementation of core banking system at their banks, any needed communication from the bank towards a change in bank account number should accompany the application form for subscription of units.
- Payment by Pre-authorized Debit:**
 - If the subscription is done with pre-authorized instruments such as Pay Order, Demand Draft, Bankers cheque, etc., a certificate (in original) from the issuing banker must accompany the purchase application, stating the Account holder's name and the Account number which has been debited for sale of the instrument. The account number mentioned in the Certificate should be a registered bank account of the first named investor should be one of the account holders to the bank account holder for issue of such instruments.
- Payment by RTGS, NEFT, ECS, Bank transfer, etc.**
 - A copy of the instruction to the bank stating the account number initiated must accompany the purchase application. The account number mentioned on the transfer instruction copy should be a registered bank account of the first named investor should be one of the account holders to the bank account. The above broadly covers the various modes of payment for mutual fund subscriptions. The above list is only indicative not exhaustive list and any other mode of payment as introduced from time to

time will also be covered accordingly. In case the application for subscription does not comply with the above provisions, the AMC/Registrars reserve the right and absolute discretion to reject the proceeds and application and refund the subscription money and shall not be liable for any such rejection.

Reversing of Dividend option:

Investors are requested to note that pursuant to SEBI circular no. SEBI/HO/MO/CF/DO/RR/2003/154 dated October 29, 2003, the Dividend option under all the existing schemes of PGM India Mutual Fund (the Mutual Fund) shall be retained as follows with effect from April 1, 2021.

Option/Facility	Name
Dividend Payout	Payout of income Distribution cum Capital Withdrawal option (IDCW)
Dividend Re-investment	Reinvestment of income Distribution cum Capital Withdrawal option (IDCW)
Dividend Transfer/Sweep Plan	Transfer/Sweep of income Distribution cum Capital Withdrawal plan (IDCW)

Investors are requested to note that the above changes are changes in the discount requirements. There is no change in the current format of declaration and distribution of dividend. Whenever distributable surplus will be distributed, a clear segregation between income distribution (applicable on NAV) and capital distribution (Equalization Reserve) shall be suitably disclosed in the Consolidated Account Statement provided to investors.

1. LUMP SUM INVESTMENT

If you are from a city where there is no designated Investor Service Centre of PGIMIP, you may make a payment by a Demand Draft for the investment amount. Please note the choice of DD amount, DD Charges (if applicable) and the investment amount. The AMC shall bear the DD Charges incurred by an applicant as per terms and charges prescribed by State Bank of India. The AMC will, however, not refund any DD charges to the investor under any circumstances.

NRI Investors

NRIs and PIOs may purchase units of the schemes on a repatriation and non-repatriation basis, while PIs may purchase units only on a repatriation basis. They shall attach a copy of the cheque used for payment or a Foreign Inland Remittance Certificate (FIRC) or an Account Based Certificate from the bankers along with the application form to enable the AMC to ascertain the repatriation status of the amount invested. The account type shall be clearly ticked as NRI or PIO or POCI, to enable the AMC ascertain the repatriation status of the investment amount. The AMC and the Registrar may rely on the repatriation status of the investment purely based on the details provided in the application form.

Repatriation basis

- NRIs and PIOs may pay their subscription amounts by way of Indian Rupee drafts purchased abroad, cheques drawn on Non-Resident External (NRE) Accounts or Indian Rupee drafts payable at par at any of the centres where the AMC has a designated BIC and purchased out of funds held in NRE Accounts / POCI Accounts. PIs may pay their subscription amounts either by way of inward remittance through normal banking channels or out of funds held in Foreign Currency Accounts or Non-Resident Rupee Accounts maintained with a designated branch of an authorized dealer with the approval of RBI.
- In case Indian Rupee drafts are purchased abroad or from FCNMRP accounts, an account debit certificate from the bank issuing the draft certifying the draft shall also be submitted with the application form. NRIs shall also be required to furnish such documents as may be necessary and as requested by the AMC/Investor Public Registrar, in connection with the investment in the schemes.

Non-Repatriation basis

NRIs and PIOs may pay their subscription amounts by cheque/demand drafts drawn out of Non-Resident Ordinary (NRO) accounts, Non-Resident Special Rupee (NRSR) accounts and Non-Resident Non-Resident (NRRN) accounts payable at the city where the application form is accepted.

2. INVESTMENT UNDER SIP

The following criteria should be met for an SIP investment as specified in the SIF and any updates issued there to:

- Minimum amount per instalment
- Minimum number of instalments
- Aggregate investment via SIP

If the SIP period is not specified by the investor then the SIP investment will be deemed to be for 40 years and processed accordingly. The SIP facility will be available on the following dates in a Month or Quarter as chosen by the investor. Any date available of the month & quarter. If any of the said dates happen to be a Holiday / Non-transaction day, then the SIP transaction will be processed on the next business day.

- SIP mode - Auto Debit (ECS Direct Debit/ACH/CH/Post-Dated Cheques)**
- For SIP application, the first investment cheque is optional. However, an original cancelled cheque is mandatory to verify the SIP bank details.
- The first instalment (in case investor wishes to make the first investment with the SIP application form) you may pay either through Auto Debit (ECS/ACH/CH/ACH/ACH) or by Post Dated Cheques.
- If you wish to opt for payments through Auto Debit, please indicate your preferences for SIP through Auto Debit (ECS/ACH/ACH/ACH) in the box provided for the purpose and fill in the required AUTO DEBIT FACILITY FORM. If you wish to pay for your SIP through Post Dated Cheques (PDC), you should not fill in the AUTO DEBIT FACILITY FORM. Please mention the second and subsequent instalment cheque details in the space provided for the purpose.
- The first instalment cheque should be dated with the date of submission of the Application Form.

Please note the following

- For SIPs through PDCs, the first SIP cheque needs to be from the same bank account as the PDCs for your future SIP instalments.
- The Second SIP instalment has to be at least 20 days in case direct debit and 30 days in case of ECS after the date of the first SIP instalment.
- The first instalment cheque and the subsequent instalments (either through PDCs or Auto Debit) should be for the same amount.
- The cheque should be drawn in favour of scheme name (For e.g. 'PGM India Multi Asset Allocation Fund').
- In case of SIP through Auto Debit, the Auto Debit Authorization needs to be filed in and signed by the Bank Account holder in the same order and manner in which the Bank account is held by them.
- In case of any variation between the SIP instalment and the SIP period, the SIP period will be considered as per the Auto Debit Facility Form.
- In case of any discrepancy between the Application Form and the Auto Debit Facility Form, the SIP details provided in the latter will be considered for investment.
- SIP Instalment Requirement

Frequency	Min. Amount (Rs.)	Multiple of (Rs.)	Min. Number of instalments
Monthly & Quarterly	1000	1	1

Auto Renewal Instructions:

- Facility for Auto Renewal SIP is available for fresh SIP registration.
- The Auto Renewal option can be chosen at the time of fresh SIP registration.
- Auto Renewal SIP option is available for SIP registered upto 20 years.

- If the Auto Renewal period is not specified, the default period previously selected will be applied.
- Investor must verify the validity of the MACH Mandate at the time of self registration and signing for Auto Renewal facility.
- Self cancellation for auto renewal is permitted.

3. FOREIGN ACCOUNT TAX COMPLIANCE (FATCA)

FATCA & CRS TERMS & CONDITIONS: Details under FATCA & CRS: The Centre Board of Direct Taxes has notified AMLF 11AF to 11AF, 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. To avoid compliance, we may need 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 India 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.

FATCA & CRS INSTRUCTIONS

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

Reason A: The country where the Account holder is liable to pay tax does not issue Tax Identification Number to its residents. If TN is not applicable, provide a copy of the country's equivalent ID or Number. **Reason B:** No TN required. (Section this reason only if the authorities of the respective country of tax residence do not require the TN to be disclosed). If TN is not applicable, provide a copy of the country's equivalent ID or number.

Reason C: Other, please state the reason therefore.

For non-individual investors, please fill in USO form along with FATCA / CRS documents and attach along with Application form available on our website www.axisindia.com.

If you have any questions about your tax residency, please contact your tax adviser. If you are a US citizen or resident or permanent resident please include United States in the foreign country information field along with your US Tax Identification Number.

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

SEBI issued its circulars: CIR/MPD/2015 dated August 28, 2015 wherein advising intermediaries to take necessary steps to ensure compliance with the requirements specified in the rules and questions specified by the Government of India. AMLF also issued its best practices questions circular no. 52/2015-18 dated September 15, 2015 on this matter. The AMC and the Mutual Fund are required to adhere to various requirements relating to submission of account information / details relating to the investors in the schemes of the mutual fund, its authorities, as specified under the applicable laws. Accordingly, the following aspects need to be attended to:

- With effect from November 1, 2015 all investors will have to mandatorily provide the information and documentation pertaining to FATCA/CRS for all new accounts opened, along with the application / transaction request shall be added to be rejected.
- For all new accounts opened by investors from September 1, 2015 to October 31, 2015, MFs need to obtain relevant FATCA declarations. These details / certification need to be obtained by December 31, 2015, particularly in cases where, after initial search, a positive match is found with any US India.

If self-certification is not provided by an investor or the reason/absence of self-certification cannot be confirmed, the account is treated as reportable.

- For accounts opened between July 1, 2014 and August 31, 2015, the Government of India vide its press release dated April 11, 2017 has required that all efforts should be made by the AMC to obtain the self-certification from the investor. Further, in case self-certifications are not provided by unitholders of April 30, 2017, the AMC would be deemed, which would mean that the AMC would provide the unitholder with affecting any transaction with respect to such funds. For pre-existing accounts (as on December 31, 2015) in case of CRD and June 30, 2014 in case of FATCA), specific investors whose specified financial assets would be required to provide self-certification forms. Investors are requested to provide all the necessary information / declarations to facilitate compliance, considering India's commitment to implement CRS and FATCA, under the relevant international treaties.

Please consult your professional tax advisor for further guidance on your tax residency, if required. In case customer has the residency India pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Camp Documents as mentioned below.

FATCA & CRS India (selected fields)	Documentation required for Care of FATCA/ CRS India
U.S. place of birth	- Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; - Non-US passport or any non-US government issued document evidencing nationality or citizenship; AND - Any one of the following documents: - Certified Copy of 'Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; - or Reason the customer did not obtain U.S. citizenship at birth
Residence/working address in a country other than India	- 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 - Documentary evidence
Telephone number in a country other than India	If no Indian telephone number is provided: - 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 - Documentary evidence If Indian telephone number is provided along with a foreign country telephone number: - 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 - Documentary evidence

FATCA & CRS India (selected fields)	Documentation required for Care of FATCA/ CRS India
Telephone number in a country other than India	- 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 - Documentary evidence

9. NOMINATION DETAILS

You may nominate a maximum of 3 persons, to receive the Unit/amounts standing to your credit payable in the event of death of the Unit holder(s) in respect of investment under a FDC.

- The nomination may be made only by individuals applying for holding unit on their own behalf, singly or jointly.
- Non-individuals including society, trust, body corporate, partnership firm, Karta of HUF, member of POA of a person/individual applying on behalf of a minor beneficiary cannot nominate.
- A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided in the Application. Nomination can also be in favour of the Central Government, State Government and local authority, any person designated by virtue of his office or a religious or charitable trust.
- The nominee shall not be a Hindu (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder.
- A Non-Resident Indian can be a Nominee subject to the exchange control regulations in force, from time to time.
- Transfer of unit in favour of a nominee shall be subject to discharge by the AMLF/Mutual Fund against the legal suit.
- The cancellation of nomination can be made only by the individual(s) who hold unit on their own behalf singly or jointly and who made the original nomination. On cancellation of the nomination, the nomination shall stand null and void and the AMC shall not be under any obligation to transfer the unit in favour of the Nominee.
- In the event of the unit holder not indicating the percentage of allocation/shares for each of the nominees, the AMC shall settle the same equally amongst all the nominees.
- It is recommended for the non-resident Indian (in case the nominee is a minor) to provide the signature in the space provided.
- Investors should opt for the nomination facility to avoid hassles and inconveniences in case of unfortunate events in future.
- Nomination by a Unit holder shall be applicable for all the investments in all schemes held in a particular folio.
- Every new nomination for a folio will override the existing nomination.
- Nomination shall not be allowed in a folio held on behalf of a minor unit holder.
- In case of multiple nominees, the percentage of allocation/shares in whole numbers and without decimal in favour of each of the nominees should be indicated against the name of the nominee. Such allocation share should total to 100 percent. In the event of the Unit holder(s) failing to indicate the percentage of allocation share for each of the nominees, the Fund/AMC, by invoking default option shall settle the claim equally amongst all the nominees.

In case you do not wish to nominate, kindly indicate by ticking in the space provided.

10. DECLARATION AND SIGNATURES

- Please tick the box provided for Self Declaration in this section in case the APN is mentioned in the distributor section and the EUN is left blank.
- All signatures should be handwritten in English or any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in both cases must be attested by a Judicial Magistrate or a Notary Public.
- If the application form is signed by a Power of Attorney (POA) holder, the form should be accompanied by a notarized photocopy of the POA. Alternatively, the original POA may be submitted, which will be returned after verification. If the POA is not submitted with the application, the Application Form will be rejected. The POA should contain the signature of the investor (POA donor) and the POA holder.
- In case of corporate or any non-individual investors, a list of authorized signatories should be submitted along with Application form or in case of any change in the authorized signatory list, the AMC / Registrar must be notified within 7 days.
- In case of application under POA or by a Non-individual (i.e. Company, trust, society, partnership firm etc.) the relevant POA or the resolution should specifically provide for authorizing the POA holder/authorized signatory to make application / invest money on behalf of the investor.

11. GO GREEN INITIATIVE IN MUTUAL FUNDS

- Visit www.go-greeninitiative.com for more details issued by SEBI via Gazette Notification SEBI/LA-MFCD/ON/2016/4 & Circular SEBI/HO/MD/DP2/CR/2015/52 regarding Go Green Initiative in Mutual Funds regarding disclosure and providing information to investors through digital platform as a green initiative measure.
- In line with above initiative, PGIM India Mutual Fund has adopted 'Go Green Initiative for Mutual Funds' and accordingly, the scheme Annual Reports / Abridged Summary will be posted on our website www.pgimindia.com in a downloadable format. Further, wherever email id is registered in our records, the scheme Annual Reports / Abridged Summary will be sent via email.
- If you do not opt-in to receive a physical copy of the scheme Annual Reports / Abridged Summary, you can view the same on our website or alternatively contact our registered office to get a physical copy of the Annual Report / Abridged Summary.

12. IMPLEMENTATION OF AMENDMENTS IN INDIAN STAMP ACT, 1992

Finance (Unit holders or all the scheme(s) of the Mutual Fund pursuant to Notification No. S.O. 4419(E) dated December 12, 2013 issued by Department of Revenue, Ministry of Finance, Government of India, read with Part I of Chapter II of Notification dated February 21, 2013 and Notification dated March 30, 2013 issued by Legislative Department, Ministry of Law and Justice, Government of India on the Finance Act, 2013, a stamp duty @ 1.00% of the transaction value shall be levied on mutual fund transactions with effect from July 1, 2013. Accordingly, (inward to buy of stamp duty, the number of units allotted on purchase, redemptions, SIP/STP installments (including IDCW Withdrawal) to the unitholders would be subject to this act).

13. TDS ON DIVIDEND (DDCV)

For the Tax and TDS implementation refer the scheme SID.

Nomination Form

For Registration / Modification / Cancellation of Nominees / Opt out of Nomination
(for Individual Unit Holders only)



PGIM
India Mutual Fund

Folio No.

Date

Format for providing Nomination

Nomination Details			
☐ 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.			
Nomination can be made upto three nominees in the account.		Details of 1 st Nominee	Details of 2 nd Nominee
Mandatory Details			
1. Name of the nominee(s)* (Mr./Ms.)			
2. Share of each Nominee: Equally (If not equally, please specify percentage)	☐ 100% ☐ 75% ☐ 50% ☐ 25% ☐ 25% ☐ Others _____	☐ 100% ☐ 75% ☐ 50% ☐ 25% ☐ 25% ☐ Others _____	☐ 100% ☐ 75% ☐ 50% ☐ 25% ☐ 25% ☐ Others _____
Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
3. Relationship with the Applicant (if any)	☐ Father ☐ Mother ☐ Spouse ☐ Son ☐ Daughter ☐ Others _____	☐ Father ☐ Mother ☐ Spouse ☐ Son ☐ Daughter ☐ Others _____	☐ Father ☐ Mother ☐ Spouse ☐ Son ☐ Daughter ☐ Others _____
4. Date of Birth (mandatory in case of Minor)			
5. Guardian name (non-mandatory)			
6. Identification number (PAN, Driving Licence, Aadhaar or last 4 digits of Passport must be provided for NRIs/QCIs)	☐ PAN ☐ Aadhaar ☐ Driving Licence ☐ Passport ID number	☐ PAN ☐ Aadhaar ☐ Driving Licence ☐ Passport ID number	☐ PAN ☐ Aadhaar ☐ Driving Licence ☐ Passport ID number
7. Address of Nominee(s)/ Guardian in case of Minor			
City / Place			
State & Country			
PIN			
8. Mobile No. of nominee(s)/ Guardian in case of Minor			
9. Email ID of nominee(s)/ Guardian in case of Minor			

Note: * Nomination details provided should override any previous nomination registered in the folio. * Please ensure that sum of all nominee's assets add up to exactly 100%.

I / We want the details of my / our nominee to be printed in the statement of holding, provided to me/us by the AMC as follows:			
☐ Name of nominee(s) ☐ Nomination: Yes / No			
	Name(s) of holder(s)	Signature(s) of holder:	Witness Signature*
First Holder	(Mr./Ms.)		
Second Holder	(Mr./Ms.)		
Third Holder	(Mr./Ms.)		

(It to be signed as per mode of holding in the folio)

*Signature of two witness(es), along with name and address are required. If the account holder affixes thumb impression, instead of wet signature.



ACKNOWLEDGMENT SLIP (To be filled in by the Investor)

Request for ☐ Registration ☐ Modification ☐ Cancellation of Nominees ☐ Opt out of Nomination

Folio No.

Date

Name

PAN

Signature, Stamp & Date

Declaration for opting-out of nomination

☐ I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s) my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.			
Name of Holder(s)*			
Signature of Holder(s)*			

* Signature of witness, along with name and address are required. If the account holder affords thumb impression, instead of signature.

Instructions

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

PGIM India Multi Asset Allocation Fund

(Multi Asset Allocation Fund - An open ended scheme investing in equity and equity related instruments, Debt & Money Market Instruments, Gold ETFs & Silver ETFs)

Offer for Units of Rs. 10/- Per Unit for cash during the New Fund Offer Period and at NAV based prices upon re-opening.

NFO Dates: November 11, 2025 to November 25, 2025

Please refer the ASBA instructions while filling up this form. Tick (✓) whichever is applicable.

All sections to be completed legibly in English in Black/Blue coloured ink and in BLOCK letters.

Application No. _____

This product is suitable for investors who are seeking:

- Capital appreciation over a long period of time.
- Investments in a diversified portfolio of equity & equity related instruments, Debt & Money Market Instruments, and Gold ETFs & Silver ETFs.

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

Scheme Riskometer



The risk of the scheme is very high.

Benchmark Riskometer



AMFI: Tier 1 Benchmark = AMFI: Tier 1 Benchmark = 60% of Nifty 500 TR + 20% of Crisil Short Term Debt Index + 10% of Domestic prices of Gold + 10% of Domestic prices of Silver
The risk of the benchmark is very high.

The Product labeling assigned during the NFO is based on internal assessment of the scheme characteristics or those portfolio and the same may vary post NFO when actual investments are made.

1. DISTRIBUTOR INFORMATION**FOR OFFICE USE ONLY**

Distributor code	RIA code	Sub broker code	Employer Code (EQU)	OCSE	OCSE FSC	Brokerage Member Code
	RIA-					

☐ Please ✓ if the RIA space is left blank. I/We hereby confirm that the Distributor has been intentionally left blank by me/us as this is an "allocation-only" transaction without any intervention or advice by the employment/relationship manager/sales person of the above distributor or notwithstanding the advice of inappropriateness, if any, provided by the employment/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

Upon completion shall be paid directly by the investor to the AMFI registered Distributor based on the investor's assessment of various factors including services rendered by the distributor.

2. TRANSACTION CHARGES (Please ✓ any one of the below)

☐ I AM A FIRST TIME INVESTOR IN MUTUAL FUNDS OR ☐ I AM AN EXISTING INVESTOR IN MUTUAL FUNDS

3. APPLICANT INFORMATION (Name should be as available in Demat Account in case of Demat Account holders)

Name of 1st Applicant	Mr / Ms / Mx
Name of 2nd Applicant	Mr / Ms / Mx
Name of 3rd Applicant	Mr / Ms / Mx
Name of Guardian / Contact Person	Mr / Ms / Mx

Category (Please ✓): ☐ Retail individual investor(s) ☐ Non-institutional investor(s)

PAN No. 1st Applicant: [] [] [] [] [] [] [] [] [] [] 2nd Applicant: [] [] [] [] [] [] [] [] [] [] 3rd Applicant: [] [] [] [] [] [] [] [] [] []

Mode of Operation in Demat Account (Where there is more than one applicants): ☐ Single OR ☐ Anyone or Survivor OR ☐ Joint

4. DEPOSITORY ACCOUNT DETAILS

Depository Name (Please ✓): ☐ National Securities Depository Ltd. ☐ Central Depository Services (India) Limited

Depository Participant Name	DP ID
Beneficiary Account Number	

5. INVESTMENT DETAILS (Please ✓ where applicable)

Scheme: PGIM India Multi Asset Allocation Fund Plan: ☐ Direct ☐ Regular ☐ Optin ☐ Growth ☐ OCW (Default Option)
Sub-Option: ☐ OCW Payout ☐ OCW Reinvestment Mode of Investment: ☐ Lump Sum Only ☐ More Investment ☐ SIP Only ☐ Lumpsum with SIP

6. DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS

Bank Account Number	Bank Name
Branch Name where account is held	
Total Amount to be blocked* (₹ in figures)	₹ (in words)

* Minimum Amount is ₹ 500/- in multiples of ₹ 1/- thereafter.

Attn: NRI Investors: Payment should be made through their NRE/FCNR accounts.



ACKNOWLEDGMENT SLIP
(to be filled in by the investor)

Application No. _____

Total: [] [] [] [] [] [] [] [] [] []

Scheme Name: PGIM India Multi Asset Allocation Fund Plan: ☐ Direct ☐ Regular ☐ Optin ☐ Growth ☐ OCW (Default Option)

Sub-Option: ☐ OCW Payout ☐ OCW Reinvestment

Mr / Ms / Mx / Mx: _____

Address: _____

SCDS Account Details: _____

Ac No: _____ Bank Name: _____ Branch Name: _____

Total Amount to be Blocked: _____

₹ (in figures): _____ ₹ (in words): _____

7. UNDERTAKING BY ASBA INVESTOR

I/We hereby undertake that I/we am/are an ASBA investor as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009 ("SEBI Regulations") as amended from time to time, (i) in accordance with ASBA process provided in the SEBI Regulations and as disclosed in this application, I/we authorize (s) the SCSE to do as necessary with including booking of application money towards the Subscription of Units of the Scheme, to the extent mentioned above in the "SCSE ASBA Account details" or unbooking of funds in the bank account maintained with the SCSE specified in this application form; transfer of funds to the Bank account of the Scheme/RTA India Mutual Fund in respect of instructions from the Registrar and Transfer Agent after the placement of the Units entering in issue to receive Units or such transfer of funds, etc.; (ii) Register and Transfer Agent to issue instructions to the SCSE to remove the block on the funds in the bank account specified in the application, upon placement of Units and to transfer the requisite money to the Scheme's account; Bank account of RTA India Mutual Fund; (i) in case the amount available in the bank account specified in the application is insufficient for booking the amount equivalent to the application money towards the Subscription of Units, the SCSE shall reject the application; (ii) 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 POBI India Mutual Fund or SCSEs shall not be liable for losses, if any. All future communication in connection with NFO shall be addressed to the SCSE/RTA/MC quoting the full name of the Self/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 booked.

Signature of the Applicant(s)

Date

Signature of First Applicant (Full Name)	Signature of Second Applicant (Full Name)	Signature of Third Applicant (Full Name)

IMPORTANT INFORMATION & INSTRUCTIONS FOR ASBA MUTUAL FUND INVESTORS

Background: In its continuing endeavour to make the existing public issue process more efficient SEBI introduced a supplementary process of applying in public issue, viz. the "Applications Supported by Blocked Amount (ASBA)" process. Accordingly, Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009, as amended have been amended for ASBA process. The salient features of circular no. SEBI/CFD/IL/ASBA/1208/2012 dated December 18, 2012 available on SEBI website for "Additional mode of payment through Applications Supported by Blocked Amount (hereinafter referred to as "ASBA") are mentioned below for understanding the ASBA process:

- Meaning of ASBA:** ASBA is an application for subscribing to a New Fund Offer Application FORM (NFO), containing an authorization to book the application money in a bank account.
- Self Certified Systemic Bank (SCSB):** SCSE is a banker to an issue registered with the SEBI which offers the facility of applying through the ASBA process. The list of SCSEs will be displayed by SEBI on its website at www.sebi.gov.in from time to time. ASBA can be accepted only by SCSEs, whose names appear in the list of SCSEs displayed on SEBI's website. As on April 15, 2010, 27 Banks have been recognized as SCSEs, investors maintaining their accounts in any of these Banks may approach one of the designated branches of those SCSEs for availing the facility. Further it may be noted that from time to time new Banks register themselves as SCSEs and become eligible to provide these services and add the existing SCSEs designate additional branches that also provide the facility. An applicant for or at the respective SCSEs, 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, RIA, TA for information about the SCSEs in the ASBA process. These SCSEs are deemed to have entered into an agreement with the issuer and that, as reported to offer the ASBA facility to all its account holders for all issues in which ASBA process is applicable. A SCSE shall identify its Designated Branches (DBs) at which an ASBA Form shall submit ASBA and shall also notify the Controlling Branch (CB), which shall act as a controlling branch for the Registrar to the Issue, Stock Exchanges and Merchant Bankers. The SCSE, its DBs and CB shall continue to act as such, for all issues in which ASBA process is applicable. The SCSE may identify new DBs for the purpose of ASBA process and inform details of the same to SEBI, after which SEBI will add the DB to the list of SCSEs maintained by it. The SCSE 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 SCSE on its website: (i) Name and address of the SCSE; (ii) Addresses of DBs and CB and other details such as telephone number, fax number and email etc.; (iii) Name and contact details of a stock officer at a senior level from the CB.
- Eligibility of Investors:** An investor may be eligible to apply through ASBA process, if he/she: (i) is a Resident Retail Individual Investor, Non Institutional Investor, QIBs, Eligible NRI applying on non-residential basis, Eligible FPI applying on application basis i.e. any investor; (ii) is applying through booking of funds in a bank account with the SCSE, both investors are hereinafter referred as ASBA investor.
- ASBA Facility is Bifid:** Investor shall submit to SEBI through an ASBA Form Application Form, either in physical or electronic mode, to the SCSE who upon the bank account of the ASBA investor or bank account utilized by the ASBA investor ("ASBA Account") is maintained. The SCSE shall book an amount equal to the NFO application Amount in his bank account specified in the ASBA Form Application Form, physical or electronic, on the basis of an authorization to the effect given by the account holder at the time of submitting the Application. The Self Amount shall remain booked in the ASBA Account until the allotment in the new fund offer and subsequent transfer of the Application Amount against the Allotted Units to the Issuer's account designated for this purpose, or until withdrawal/rejection of the offer or until withdrawal/rejection of the ASBA Application, as the case

may be. The ASBA form shall thereafter be updated by the SCSE in the electronic IPO system of the Stock Exchanges. Once the allotment is finalized, the RITA to the NFO shall send an appropriate request to the Controlling Branch of the SCSE for unblocking the relevant bank accounts and for transferring the amount payable to the successful ASBA investors to the ASBA account designated for this purpose. In case of withdrawal/rejection of the Offer, the RITA to the Offer shall notify the SCSE to unblock the blocked amount of the ASBA blocks within one day from the day of receipt of such notification.

- Obligations of the AMC:** AMC shall ensure that accurate arrangements are made by the RITA for the NFO to obtain information about all ASBA and to treat these applications similar to non-ASBA applications while allotment of Units, as per the provisions 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.

Other information for ASBA investors:

- SCSE shall not accept any ASBA after the closing time of acceptance on the last day of the NFO period.
- SCSE shall give ASBA investors an acknowledgment for the receipt of ASBA.
- SCSE 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 booked the application money in the bank account specified in the ASBA or has applied to ensure that Electronic ASBAs are accepted in the system only after booking of application money in the relevant bank account opened with it.
- SCSE 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.
- SCSE shall be liable for all its omissions and commissions in discharging responsibilities in the ASBA process.
- RITA 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 SCSE concerned.

Grounds for rejection of ASBA applications

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

- Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane persons etc.
- Name of ASBA is either Physical ASBA or Electronic ASBA, not needed or blank.
- ASBA Application Form without the stamp of the SCSE.
- Application by any person outside India if not in compliance with applicable foreign and Indian laws.
- Bank account details not given/incorrect details given.
- Only certified Power of Attorney, if applicable, not submitted alongside the ASBA application form.
- No corresponding records available with the Depositories matching the Beneficiary Name(s) (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.
- Insufficient funds in the investor's account.
- Application accepted by SCSE and not uploaded on the Exchange's Register.

Details of Additional FATCA & CRS Information

(Only for Non Individuals)

Name of the entity _____

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

PAN: Date of Incorporation:

City of incorporation: _____ Country of incorporation: _____

Please tick the applicable tax resident declaration:

1. Is "Entity" a tax resident of any country other than India: ☐ Yes ☐ No

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

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

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

In case TIN or its functional equivalent is not available, please provide Company Identification Number or Global Entity Identification Number or GPE, 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:

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

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

We are a: Financial Institution? ☐ OR Direct reporting NFE? ☐ (please tick as appropriate)	GIIN: Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below. Name of sponsoring entity: _____
GIIN not available (please tick as appropriate) If the entity is a Financial Institution,	☐ Applied for ☐ Not required to apply for - please specify 2 digit sub-category* ☐ 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 ¹ (that is, a company whose shares are regularly traded on an established securities market)? ☐ No	Yes ☐ (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange: _____
2. Is the Entity a related entity ² of a publicly traded company (a company whose shares are regularly traded on an established securities market)? ☐ No	Yes ☐ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company: _____ Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of stock exchange: _____
3. Is the Entity an active ³ NFE? ☐ No	Yes ☐ Nature of Business: _____ Please specify the sub-category of Active NFE (Mention code-refr 2c of Part C)
4. Is the Entity a passive ⁴ NFE? ☐ No	Yes ☐ Nature of Business: _____

*Refer 2a of Part C | ¹Refer 2b of Part C | ²Refer 2c of Part C | ³Refer 3(i) of Part C | ⁴Refer 1 of Part C | ⁵Refer 3(vi) of Part C | ⁶Refer 1A 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 PGIM India 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 _____
Signature _____	Signature _____

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 today; 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;

- 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 GIN:**

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

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/executor
05	CP of legal arrangement - trust/beneficiary
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-actor dependent
10	CP of legal arrangement - Other-trustee dependent
11	CP of legal arrangement - Other-protector dependent
12	CP of legal arrangement - Other-beneficiary dependent
13	CP of legal arrangement - Other-other dependent
14	Unknown

2. **Non financial entity (NFE)** - Foreign entity that is not a financial institution. Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

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

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

b. Related entity of a publicly traded company

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

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

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income.
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing.
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE.
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution.
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution.
07	Any NFE that fulfills all of the following requirements: • 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; • It is exempt from income tax in India; • It has no shareholders or members who have a proprietary or beneficial interest in its income or assets. 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

Code	Sub-category
	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 either to the government of the NFE's country or territory of residence or any political subdivision thereof.
	Explanation: For the purpose of this sub-category, the following shall be treated as fulfilling the criteria provided in the said sub-category, namely:-
	(i) an Investor Protection Fund referred to in clause (23EA);
	(ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and
	(iii) an Investor Protection Fund referred to in clause (23EC) of section 10 of the Act;

2. 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

- 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
- an investment entity defined in clause (b) of these instructions;
- 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:

- OCV;
- Interest;
- Income equivalent to interest;
- 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;
- Annulals;
- The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income;
- The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets;
- The excess of foreign currency gains over foreign currency losses;
- Net income from swaps;
- 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) Specified U.S. person - A U.S. person other than the following:

- a corporation the stock of which is regularly traded on one or more established securities markets;
- any corporation that is a member of the same expanded affiliated group, as defined in section 1471(a)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- the United States or any wholly owned agency or instrumentality thereof;
- 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;
- any organization exempt from taxation under section 501(c) 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;
- any bank as defined in section 581 of the U.S. Internal Revenue Code;
- any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;

(vii) 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);

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

(ix) 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;

(x) 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;

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

(xii) any tax-exempt trust under a plan that is described in section 403(b) or section 407(j) of the U.S. Internal Revenue Code.

(v) Owner documented FFI

An FFI meets the following requirements:

- The FFI is an FFI solely because it is an investment entity;
- The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- The FFI does not maintain a financial account for any non-participating FFI;
- 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
- The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 JGA, 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 accepted NFE.

(vi) Direct reporting NFE

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

(vii) Exemption code for U.S. persons

Code	Sub-category
A	An organization exempt from tax under section 501(c) 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(b)(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(b)(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 407(j) plan

**Declaration Form of Ultimate Beneficial Ownership (UBO) /
Controlling Persons**



I: Investor details:

Investor's Name (As per PAN Card)																								
Father's Name																								
Mother's Name																								
PAN* (PAN copy is mandatory)																Date of Birth	>	<	>	<	>	<	>	<

* If PAN is not available, specify Folio No. (s)

II: Category

☐ Our company is a Listed Company on a recognized stock exchange in India / Subsidiary of a or Controlled by a Listed Company (If this category is selected, no need to provide UBO details).

Name of the Stock Exchange where it is listed#: _____

Security ISIN# _____

Name of the Listed Company (applicable if the investor is subsidiary/associate): _____

#mandatory in case of Listed company or subsidiary of the Listed Company

☐ Unlisted Company ☐ Partnership Firm / LLP ☐ Unincorporated association / body of individuals

☐ Public Charitable Trust ☐ Private Trust ☐ Religious Trust ☐ Trust created by a Will

☐ Others (please specify) _____

UBO / Controlling Person(s) details:

Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit? ☐ Yes ☐ No

IF 'YES' - We hereby declare that the following individual person holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.

IF 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.

	UBO-1 / Senior Managing Official (SMO)	UBO-2	UBO-3
Name of the UBO/SMO#			
UBO / SMO PAN# For Foreign National TIN to be provided]			

% of beneficial interest#	>10% controlling interest. ☐ >15% controlling interest. ☐ >25% controlling interest. ☐ NA, (for SMO). ☐	>10% controlling interest. ☐ >15% controlling interest. ☐ >25% controlling interest. ☐ NA, (for SMO). ☐	>10% controlling interest. ☐ >15% controlling interest. ☐ >25% controlling interest. ☐ NA, (for SMO). ☐
UBO / SMO Country of Tax Residency#			
UBO / SMO Taxpayer Identification Number / Equivalent ID Number#			
UBO / SMO Identity Type			
UBO / SMO Place & Country of Birth#	Place of Birth _____ Country of Birth _____	Place of Birth _____ Country of Birth _____	Place of Birth _____ Country of Birth _____
UBO / SMO Nationality			
UBO / SMO Date of Birth (dd-mm-yyyy) #			
UBO / SMO PEP#	Yes – PEP. ☐ Yes – Related to PEP. ☐ N – Not a PEP. ☐	Yes – PEP. ☐ Yes – Related to PEP. ☐ N – Not a PEP. ☐	Yes – PEP. ☐ Yes – Related to PEP. ☐ N – Not a PEP. ☐
UBO / SMO Address (include City, Pincode, State, Country)	Address: City: Pincode: State: Country:	Address: City: Pincode: State: Country:	Address: City: Pincode: State: Country:
UBO / SMO Address Type	Residence ☐ Business ☐ Registered Office. ☐	Residence ☐ Business ☐ Registered Office. ☐	Residence ☐ Business ☐ Registered Office. ☐
UBO / SMO Email			
UBO / SMO Mobile			
UBO / SMO Gender	Male ☐ Female ☐ Others ☐	Male ☐ Female ☐ Others ☐	Male ☐ Female ☐ Others ☐

UBO / SMO Father's Name			
UBO / SMO Occupation	Public Service ☐ Private Service ☐ Business ☐ Others ☐	Public Service ☐ Private Service ☐ Business ☐ Others ☐	Public Service ☐ Private Service ☐ Business ☐ Others ☐
SMO Designation#			
UBO / SMO KYC Complied?	Yes ☐ / No ☐ If 'Yes,' please attach the KYC acknowledgement. If 'No,' complete the KYC and confirm the status.	Yes ☐ / No ☐ If 'Yes,' please attach the KYC acknowledgement. If 'No,' complete the KYC and confirm the status.	Yes ☐ / No ☐ If 'Yes,' please attach the KYC acknowledgement. If 'No,' complete the KYC and confirm the status.

Mandatory column.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

* Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and you may provide the same as and when solicited.

Declaration

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, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. 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 but not limited 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 regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant 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 _____ Name	Authorized Signatory _____ Name	Authorized Signatory _____ Name
---------------------------------------	---------------------------------------	---------------------------------------

Place: _____

Date: __/__/__

Instructions on Controlling Persons / Ultimate Beneficial Owner

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons (CP) / ultimate beneficiary owner (UBO) and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement.

A. For investors other than individuals or trusts:

- (i) The identity of the natural person, who; whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
 - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership.
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For investors which is a trust:

The identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies / foreign investors

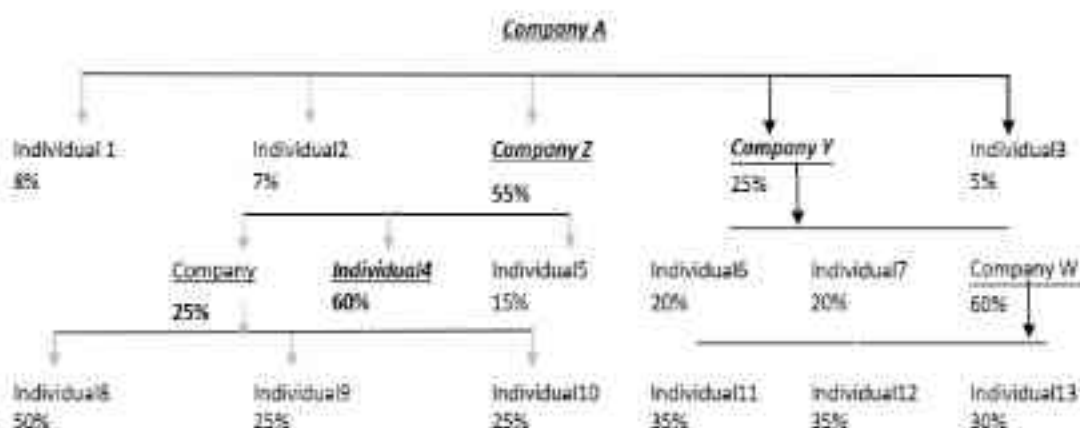
The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. Intermediaries dealing with foreign investors viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

D. KYC requirements

Beneficial Owner(s) / Senior Managing Official (SMO) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s) / SMO(s).

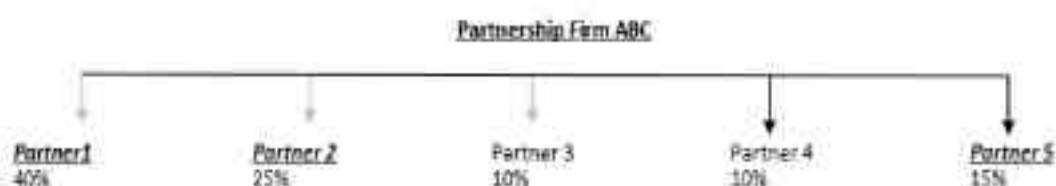
Sample Illustrations for ascertaining beneficial ownership:

Illustration No. 1 – Company A



For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and those exercising control.

Illustration No. 2 – Partner ABC



For Partnership Firm ABC, Partners 1, 2 and 5 are considered as UBO as each of them holds $\geq 15\%$ of capital. KYC proof of these partners needs to be submitted including shareholding.

Illustration No. 3 – Trustee ZYX



For Trust ZYX, Beneficiaries A, B and C are considered as UBO as they are entitled to get benefitted for $>10\%$ of funds used. KYC proof for these beneficiaries needs to be submitted. Additionally, if they have nominated any person or group of persons as Settlor of Trust / Protector of Trust, relevant information to be provided along with the proof indicated.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual
Important Instructions:

- A) Fields marked with * are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section-wise detailed guidelines / instructions at the end.
 E) List of State / UT code as per Indian Motor Vehicle Act, 1989 is available at the end.
 F) List of two character ISO 3166 country codes is available at the end.
 G) KYC number of applicant is mandatory for update application.
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only (To be filled by financial institution)	Application Type*	☐ New	☐ Update	
	KYC Number	(Mandatory for KYC update request)		
	Account Type*	☐ Normal	☐ Simplified (for low risk customers)	☐ Small

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

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

PHOTO



Signature / Stamp

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

Place / City of Birth*

ISO 3166 Country Code of Birth*

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

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

☐ A- Passport Number	Passport Expiry Date	DD	MM	YYYY
☐ B- Voter ID Card				
☐ C- PAN Card				
☐ D- Driving License	Driving License Expiry Date	DD	MM	YYYY
☐ E- UID (Aadhaar)				
☐ F- NREGA Job Card				
☐ Z- Others (any document notified by the central government)	Identification Number			
☐ S- Simplified Measures Account - Document Type code	Identification Number			

4. PROOF OF ADDRESS (PoA)*

☐ **4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please refer instruction D at the end)

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

Address Type*	☐ Residential / Business	☐ Residential	☐ Business	☐ Registered Office	☐ Unspecified
Proof of Address*	☐ Passport	☐ Driving License	☐ UID (Aadhaar)	☐ Others	
	☐ Voter Identity Card	☐ NREGA Job Card			
	☐ Simplified Measures Account - Document Type code				

Address

Line 1*

Line 2

Line 3

District*

City / Town / Village*

Pin / Post Code*

State / UT Code*

ISO 3166 Country Code*

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

General Instructions:

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

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

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

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

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

C. Clarification / Guidelines on filling 'Proof of Identity (PoI)' section

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 2- Others (any document notified by the central government) is filed.
- In case of Sanitized Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and unredacted relevant code may be mentioned at point 3 (5).

Document Code Description

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

D. Clarification / Guidelines on filling 'Proof of Address (PoA) - Current / Permanent / Overseas Address details' section

- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Sanitized Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and unredacted relevant code may be mentioned at point 3.1.

Document Code Description

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

E. Clarification / Guidelines on filling 'Proof of Address (PoA) - Correspondence / Local Address details' section

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

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

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

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

- Provide KYC number of related person if available.

H. Clarification / Guidelines on filling 'Related Person details - Proof of Identity (PoI) of Related Person' section

- Mention identification / reference number if 2- Others (any document notified by the central government) is filed.

List of tags – short state / U.T. codes as per Indian Motor Vehicle Act, 1988

State / UT	Code	State / UT	Code	State / UT	Code
Andaman & Nicobar	AN	Haryana Pradesh	HP	Pondicherry	PY
Arundh Pradesh	AP	Jammu & Kashmir	JK	Punjab	PN
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chhattisgarh	CG	Madhya Pradesh	MP	Uttar Pradesh	UP
Dadra and Nagar Haveli	CN	Mizoram	MI	Uttarakhand	UK
Daman & Diu	DD	Morpur	MR	West Bengal	WB
Delhi	DL	Nagaland	NL		
Goa	GA	Nagaland	NL		
Gujarat	GJ	Odissha	OR		
Haryana	HR				

List of 50 two - digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Algeria	AL	Algeria	AO	Angola	AG	Antigua and Barbuda	AI
Andorra	AD	Andorra	AR	Argentina	AM	Armenia	AY
Angola	AG	Angola	AT	Austria	AU	Azerbaijan	AZ
Antigua and Barbuda	AI	Antigua and Barbuda	AX	Åland Islands	AW	Aruba	AB
Argentina	AM	Argentina	BA	Bahamas	BS	Bahrain	BB
Armenia	AY	Armenia	BD	Bangladesh	BE	Belgium	BL
Australia	AU	Australia	BF	Burkina Faso	BG	Bulgaria	BU
Austria	AM	Austria	BI	Burundi	BR	Brazil	BR
Azerbaijan	AY	Azerbaijan	BS	Bahamas	BT	Bhutan	BT
Bahamas	BS	Bahamas	BY	Belarus	CA	Canada	CC
Bahrain	BB	Bahrain	CD	Congo	CE	Czech Republic	CH
Bangladesh	BE	Bangladesh	CF	Central African Republic	CG	Congo	CG
Barbados	BB	Barbados	CI	Ivory Coast	CM	Cameroon	CM
Belarus	BY	Belarus	CO	Colombia	CR	Costa Rica	CR
Belgium	BL	Belgium	CX	Hong Kong	CY	Cyprus	CY
Belize	BZ	Belize	DA	Dominican Republic	DE	Germany	DE
Benin	BJ	Benin	DJ	Djibouti	DK	Denmark	DK
Bermuda	BM	Bermuda	DM	Dominica	DO	Dominican Republic	DO
Bhutan	BT	Bhutan	DR	Dominican Republic	EC	Ecuador	EC
Bolivia	BO	Bolivia	EE	Estonia	EG	Egypt	EG
Bosnia and Herzegovina	BI	Bosnia and Herzegovina	ES	Spain	FI	Finland	FI
Brazil	BR	Brazil	FR	France	GB	Great Britain	GB
Bulgaria	BU	Bulgaria	GD	Grenada	GE	Georgia	GE
Burkina Faso	BF	Burkina Faso	GF	French Guiana	GG	Guernsey	GG
Burundi	BU	Burundi	GI	Gibraltar	GR	Greece	GR
Burundi	BU	Burundi	GU	Guam	GU	Guam	GU
Burundi	BU	Burundi	HA	Haiti	HN	Honduras	HN
Burundi	BU	Burundi	HR	Croatia	IE	Ireland	IE
Burundi	BU	Burundi	IS	Iceland	IL	Israel	IL
Burundi	BU	Burundi	IT	Italy	JM	Jamaica	JM
Burundi	BU	Burundi	JP	Japan	KE	Kenya	KE
Burundi	BU	Burundi	KR	South Korea	KG	Kyrgyzstan	KG
Burundi	BU	Burundi	LA	Laos	LI	Liechtenstein	LI
Burundi	BU	Burundi	LV	Latvia	LU	Luxembourg	LU
Burundi	BU	Burundi	MC	Monaco	MD	Moldova	MD
Burundi	BU	Burundi	ME	Montenegro	MG	Madagascar	MG
Burundi	BU	Burundi	ML	Mali	MN	Mongolia	MN
Burundi	BU	Burundi	MR	Morocco	MT	Malta	MT
Burundi	BU	Burundi	MS	Marshall Islands	MU	Mauritius	MU
Burundi	BU	Burundi	MX	Mexico	MY	Malaysia	MY
Burundi	BU	Burundi	NI	Nicaragua	NL	Netherlands	NL
Burundi	BU	Burundi	NO	Norway	NP	Nepal	NP
Burundi	BU	Burundi	OM	Oman	PK	Pakistan	PK
Burundi	BU	Burundi	PE	Peru	PL	Poland	PL
Burundi	BU	Burundi	PH	Philippines	PT	Portugal	PT
Burundi	BU	Burundi	RO	Romania	RU	Russia	RU
Burundi	BU	Burundi	SA	Saudi Arabia	SE	Sweden	SE
Burundi	BU	Burundi	SG	Singapore	SI	Slovenia	SI
Burundi	BU	Burundi	SK	Slovakia	SN	Senegal	SN
Burundi	BU	Burundi	SR	Suriname	SS	South Sudan	SS
Burundi	BU	Burundi	TD	Chad	TH	Thailand	TH
Burundi	BU	Burundi	TM	Turkmenistan	TL	Timor-Leste	TL
Burundi	BU	Burundi	TO	Tonga	TR	Turkey	TR
Burundi	BU	Burundi	TV	Tuvalu	UA	Ukraine	UA
Burundi	BU	Burundi	UG	Uganda	US	United States	US
Burundi	BU	Burundi	UY	Uruguay	UZ	Uzbekistan	UZ
Burundi	BU	Burundi	VC	St. Vincent and the Grenadines	VE	Venezuela	VE
Burundi	BU	Burundi	VG	Virgin Islands, British	VI	Virgin Islands, U.S.	VI
Burundi	BU	Burundi	VN	Vietnam	WF	Wallis and Futuna	WF
Burundi	BU	Burundi	WS	Samoa	YE	Yemen	YE
Burundi	BU	Burundi	ZA	South Africa	ZM	Zambia	ZM
Burundi	BU	Burundi	ZW	Zimbabwe			

CENTRAL KYC REGISTRY / Know Your Customer (KYC) Application Form / Individual / Correspondence / Local Address
Important Instructions:

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



For office use only

(To be filled by financial institution)

Application Type*

☐ New

☐ Update

KYC Number

(Mandatory for KYC update request)

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

☐ Same as Current / Permanent / Overseas Address Details

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

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

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

3. APPLICANT DECLARATION

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

(Signature) / Thumb Impression

Date : DD - MM - YYYY

 Photo :

Signature / Thumb Impression of Applicant

Annexure B1
CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person
Important Instructions:

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



For office use only

Application Type*

☐ New

☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

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

☐ Addition of Related Person ☐ Deletion of Related Person

KYC Number of Related Person (if available)

Related Person Type*

☐ Guardian of MinorName*

☐ Assignee

☐ Authorized Representative

Name*

Prefix

First Name

Middle Name

Last Name

(If KYC number and name are provided, below details of section 1 are optional)

PROOF OF IDENTITY (If of RELATED PERSON) (Please see instruction (H) at the end)
☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence

Driving Licence Expiry Date

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

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

Identification Number

☐ S- Simplified Measure Account - Document Type code

Identification Number

2. APPLICANT DECLARATION

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

(Signature / Thumb impression)

 Date :

 Place :

(Signature / Thumb impression of Applicant)

3. ATTESTATION / FOR OFFICE USE ONLY

 Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

(Employee Signature)

INSTITUTION DETAILS

Name

Code

(Institution Stamp)

FATCA-CRS Declaration & Supplementary KYC Information Declaration Form for Individuals

Please tick appropriate option wherever is indicated in your form. Please read FATCA & CRS guidelines.

PAN / PEKRN*													
Name													
Address Type (for KYC address)		☐ Residential ☐ Registered Office ☐ Business		Nationality		☐ Indian ☐ US ☐ Others (Please specify)							
Place of Birth				Country of Birth									
Gross Annual Income Details in INR		☐ Below 1 Lakh ☐ 5-10 Lacs ☐ 25 Lacs - 1 Cr		☐ 1-5 Lacs ☐ 10-25 Lacs ☐ > 1 Crore		Occupation Details (Please tick any one (✓))		☐ Business ☐ Professional ☐ Public Sector ☐ Private Sector ☐ Government Service ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others (Please specify) _____					
Net Worth in INR in Lacs & Date (Optional)		_____ old-format-yyyy											
Politically Exposed Person (PEP)		☐ Yes ☐ Related to PEP ☐ Not Applicable		Any other information (if applicable)		(Please specify)							

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India? Yes ☐ No ☐

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

S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type (TIN or other, please specify)	If TIN is not available, please tick ☒ the reason A, B or C [as defined below]
1				→ Reason A ☐ B ☐ C ☐
2				→ Reason A ☐ B ☐ C ☐

- > Reason A → The country where the Account Holder is liable to pay tax does not issue TIN to its residents
 > Reason B → No TIN required (Select this reason only if the authorities of the respective country of tax residence do not require the TIN to be collected)
 > Reason C → Others - Please specify the reasons _____

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may liable for it. I hereby authorize you (KFIN/Fund/AMC) 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 but not limited 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 of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund's and or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same.

Date:

Place:

Signature:

Acknowledgement

We (KFIN, on behalf of participating Mutual Funds) acknowledge the receipt of FATCA/CRS declaration form duly filled and signed from Mr. / Ms. / M/s _____ PAN _____ on old-format-yyyy

Date:

Signature with Name, Emp. ID & Seal

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 require Indian financial institutions such as the Banks/other financial entities 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 (Insert FI's name) 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. In case customer has the following indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship, or Reason the customer did not obtain U.S. citizenship at birth
Residence/mailing address in a country other than India	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 2. Documentary evidence (refer list below)
Telephone number in a country other than India	<i>If no Indian telephone number is provided</i> 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 2. Documentary evidence (refer list below) <i>If Indian telephone number is provided along with a foreign country telephone number</i> 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
Telephone number in a country other than India	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 2. Documentary evidence (refer list below)

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

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

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