



Quantum Gold Fund

An Open Ended Scheme Replicating / Tracking Gold

(Continuous Offer of units at NAV Based Prices)

Key Information Memorandum Cum Application Form

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

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

This Key Information Memorandum is dated June 26, 2024.

MUTUAL FUND

Quantum Mutual Fund.
1st Floor, Apeejay House, 3 Dinshaw Vachha Road,
Backbay Reclamation, Churchgate, Mumbai - 400 020



TRUSTEE

Quantum Trustee Company Private Ltd.
1st Floor, Apeejay House, 3 Dinshaw Vachha Road,
Backbay Reclamation, Churchgate, Mumbai - 400 020
CIN: U67190MH2005PTC156119

ASSET MANAGEMENT COMPANY

Quantum Asset Management Company Private Ltd.
1st Floor, Apeejay House, 3 Dinshaw Vachha Road,
Backbay Reclamation, Churchgate, Mumbai - 400 020
CIN: U65990MH2005PTC156152

Product Labeling

Name of the Scheme & Tier I Benchmark	This product is suitable for investors who are seeking*	Scheme Risk-o-meter	Benchmark Risk-o-meter (Tier I)
Quantum Gold Fund (An Open Ended Scheme Replicating / Tracking Gold) Tier I Benchmark: Domestic Price of Physical Gold.	<ul style="list-style-type: none">Long term returnsInvestments in physical gold	 <p>Investors understand that their principal will be at High Risk</p>	

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

Investment Objective	<p>The Investment Objective of the Scheme is to generate returns that are in line with the performance of gold and gold related instruments subject to tracking errors. However, investment in gold related instruments will be made if and when SEBI permits mutual funds to invest, in gold related instruments. The Scheme is designed to provide returns that before expenses, closely correspond to the returns provided by gold.</p> <p>There is no assurance that the Investment Objective of the Scheme will be achieved.</p>																							
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>Physical Gold</td><td>95%</td><td>100%</td></tr><tr><td>Money Market instruments</td><td>0%</td><td>5%</td></tr></table> <p>As the scheme invests 95% to 100% of the net assets into Gold, the scheme will, by and large, be passively managed fund. However, if and when permitted under SEBI regulations, the scheme may invest in gold related securities including derivatives.</p> <p>Investment in warehouse receipts and other permitted instruments linked to Gold Prices and units of international gold linked ETFs would be made as and when, and to the extent permitted by regulatory authorities.</p> <p>Cash and cash equivalents as per SEBI letter no. SEBI/HO/ IMD-II/DOF3/ OW/P/ 2021/ 31487 / 1 dated November 03, 2021 which includes T-bills, Government Securities and Repo on Government Securities having residual maturity of less than 91 Days, shall not be considered for the purpose of calculating gross exposure limit.</p> <p>Indicative Table</p> <table><tr><th>Sr. No.</th><th>Type of Instruments</th><th>Percentage of Exposure</th><th>Circular Reference</th></tr><tr><td>1</td><td>Securities Lending</td><td>As per Regulations</td><td>NA</td></tr><tr><td>2</td><td>Derivatives</td><td>5%</td><td>Para 12.26 of SEBI Master Circular No. SEBI / HO/ IMD-PoD-1/ P / CIR/ 2023/74 dated May 19, 2023</td></tr></table> <p>Portfolio Rebalancing in case of deviation from Asset Allocation Under Defensive Consideration</p> <p>The asset allocation pattern indicated above may change from time to time, depending on liquidity considerations or on account of high levels of subscriptions or Repurchase / Redemptions relative to Scheme size, or upon various defensive considerations including market conditions, market opportunities, applicable regulations and political and economic factors. These proportions may vary substantially depending upon the perception of the AMC the intention being at all times to seek to protect the interests of the Unitholders. Such changes in the investment pattern will be for short term and only for defensive considerations. In the event of deviations from the above asset allocation table, the Fund Manager will carry out rebalancing within 30 Calendar Days in accordance to para-No. 2.9 of SEBI Master Circular No. SEBI /HO/ IMD/ IMD-PoD-1 / P/ CIR / 2023/74 dated May 19, 2023. However, at all the times the portfolio will adhere to the overall investment objectives of the Scheme.</p>	Instruments	Indicative allocations (% of total assets)		Minimum	Maximum	Physical Gold	95%	100%	Money Market instruments	0%	5%	Sr. No.	Type of Instruments	Percentage of Exposure	Circular Reference	1	Securities Lending	As per Regulations	NA	2	Derivatives	5%	Para 12.26 of SEBI Master Circular No. SEBI / HO/ IMD-PoD-1/ P / CIR/ 2023/74 dated May 19, 2023
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Investment Strategy	<p>The AMC uses ‘passive’ approach to try and achieve the Scheme’s investment objective. The Scheme does not try to “beat” the markets they track and do not seek temporary defensive positions when markets decline or appear overvalued. The AMC does not make any judgments about the investment merit of a particular gold investment nor will it attempt to apply any economic, financial or market analysis. Passive approach eliminates active management risks in regards to over / underperformance vis-à-vis the benchmark.</p> <p>The AMC uses a “passive” approach to try and achieve the scheme investment objective. The scheme investin gold as an asset regardless of its investment merit.</p> <p>Investment Process</p> <p>The Scheme will endeavor to track the domestic prices of gold by investing in physical Gold.</p> <p>Normally the Fund will receive physical Gold from the Market Makers / Eligible Investors against the exchange of QGF units in Creation Unit size as defined by the Fund.</p> <p>The AMC will analyse from time to time different ways of taking exposure in gold from the perspective of risk and returns and decide the same in the best interest of investors. The investment decisions of the scheme will be carried out by the Designated Fund Manager.</p>																							
Risk Profile of the Scheme	<p>Mutual Fund Units involve investment risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment. Scheme specific Risk Factors are summarized below:</p> <ul style="list-style-type: none">• The Scheme is subject to the principal risks described below. Some or all of these risks may adversely affect Scheme’s NAV, trading price, yield, total returns and / or its ability to meet its objectives.• The Scheme’s NAV will react to the Gold price movements. The investor may lose money over short or long period due to fluctuation in scheme’s NAV in response to factors such as economic and political developments, changes in interest rates and perceived trends in bullion prices, market movement and over longer periods during market downturns.• Although the units described in this Scheme Information Document are listed on the Stock Exchange, there can be no assurance that an active secondary market will develop or be maintained.• The market price of ETF units, like any other listed security, is largely dependent on two factors, viz., (1) the intrinsic value of the unit (or NAV) and (2) demand and supply of units in the market.																							

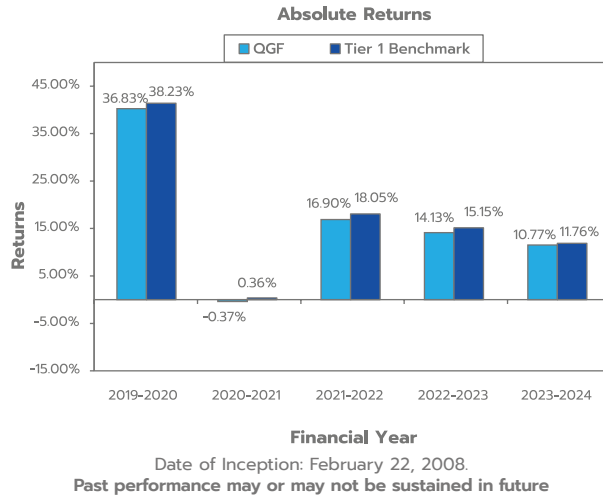
- Sizable demand or supply of the units in Exchange may lead to market price of the units to quote at premium or discount to NAV. Hence the price of QGF units is less likely to hold significant variance (large premium or discount) from the latest declaration NAV all the time.
- Trading in QGF units on the Exchange may be halted because of market conditions or for reasons that in view of Exchange Authorities or SEBI, trading in QGF units is not advisable. In addition, trading in QGF units is subject to trading halts caused by extraordinary market volatility and pursuant to Exchange and SEBI "circuit filter" rules. There can be no assurance that the requirements of Exchange necessary to maintain the listing of QGF units will continue to be met or will remain unchanged.
- Any changes in trading regulations by the Stock Exchange(s) or SEBI may affect the ability of Authorized Participant to arbitrage resulting into wider premium / discount to NAV. Any changes in the regulations relating to import and export of gold or gold jewellery (including customs duty, sales tax and any other statutory levies) may affect the ability of the scheme to buy/sell gold against the purchase and redemption requests received.
- The units of the Scheme may trade above or below their NAV. The NAV of the Scheme will fluctuate with changes in the market value of Scheme's holdings. The trading prices of QGF units will fluctuate in accordance with changes in their NAV as well as market supply and demand for the units. However, given that QGF units can be created and redeemed in creation units size directly with the fund, it is expected that large discounts or premiums to the NAV of QGF units will not sustain due to arbitrage opportunity available.
- Tracking error may have an impact on the performance of the scheme. However, the AMC will endeavour to keep the tracking error as low as possible.
- There is no exchange for physical gold in India. The Fund may have to buy or sell gold from the open market, which may lead to counter party risks for the Fund for trading and settlement.
- The Fund has to sell gold only to bullion bankers/traders who are authorized to buy gold. Though, there are adequate numbers of players (commercial or bullion bankers) to whom the Fund can sell gold, the Fund may have to resort to distress sale of gold if there is no or low demand for gold to meet its cash needs for redemption or expenses.
- There is a risk that part or all of the Scheme's gold could be lost, damaged or stolen. Access to the Scheme's gold could also be restricted by natural events or human actions.
- Any of these actions may have adverse impact on the operations of the scheme and consequently on investment in units.
- The Trustee, in the general interest of the Unit holders of the Scheme offered under this Scheme Offer Document and keeping in view the unforeseen circumstances market conditions, may limit the total number of units which can be redeemed on any Business Day.
- The returns from physical Gold in which the Scheme invests may underperform returns from the various general securities markets or different asset classes. Different types of securities tend to go through cycles of outperformance and under performance in comparison of the general securities markets.
- The Scheme is not actively managed. The Scheme may be affected by a general price decline in the Gold prices. The Scheme invests in the physical Gold regardless of their investment merit. The AMC does not attempt to take defensive positions in declining markets.
- Whereas the Indian Market was formerly restrictive, a process of deregulation has been taking place over recent years. This process has involved removal of trade barriers and protectionist measures, which could adversely affect the value of investments. It is possible that the future changes in the Indian political situation, including political, social or economic instability, diplomatic developments and changes in tax laws, changes in SEBI / Stock Exchange / RBI regulations and other applicable laws / regulations could have an effect on such investments and valuation thereof. Expropriation, confiscatory taxation or other relevant developments could affect the value of investments.
- **Risks attached with the use of derivatives:** As and when the Schemes trade in the derivatives market there are risk factors and issues concerning the use of derivatives that investors should understand. Derivative products are specialized instruments that require investment techniques and risk analysis different from those associated with stocks and bonds. The use of derivatives requires an understanding not only of the underlying instrument but of the derivative itself. Derivatives require the maintenance of adequate controls to monitor the transactions entered into, the ability to assess the risk that a derivative adds to the portfolio and the ability to forecast price or interest rate movements correctly. There is the possibility that a loss may be sustained by the portfolio as a result of the failure of another party (usually referred to as the "counter party") to comply with the terms of the derivatives contract. Other risks in using derivatives include the risk of mis-pricing or improper valuation of derivatives and the inability of derivatives to correlate perfectly with underlying assets, rates and indices.
- Derivative products are leveraged instruments and can provide disproportionate gains as well as disproportionate losses to the investor. Execution of such strategies depends upon the ability of the fund manager to identify such opportunities. Identification and execution of the strategies to be pursued by the fund manager involve uncertainty and decision of fund manager may not always be profitable. No assurance can be given that the fund manager will be able to identify or execute such strategies.
- The risks associated with the use of derivatives are different from or possibly greater than the risks associated with investing directly in securities and other traditional investments.

For details on risk factors and risk mitigation measures, please refer SID.

Plans/Options

Not Available

Applicable NAV	<p>In case of Purchase / Redemption directly with Mutual Fund (By Market Makers and Eligible Investors):</p> <p>The provisions for Cut-off timings for NAV applicability will not be applicable for direct transaction with the Fund.</p> <p>In case of Redemption directly with the Mutual Fund during Liquidity Window:</p> <p>The Cut-off time for receipt of valid application for Redemptions directly with the Fund during Liquidity Window is 3.00 p.m. Valid applications received by the fund upto the cut-off time will be processed on the basis of the closing NAV of the day of receipt of request and for valid applications received after cut-off time, the closing NAV of the next Business Day shall be applicable.</p> <p>Liquidity Window: Investor can directly approach the AMC for redemption of units of the Scheme for the transaction of upto ₹25 Crores without any exit load if any in case of the following scenarios:</p> <p>i. Traded price (closing price) of the ETF units is at discount of more than 1% to the day end NAV for 7 continuous trading days or</p> <p>ii. No quotes for the scheme are available on stock exchange(s) for 3 consecutive trading days or</p> <p>iii. Total bid size on the exchange is less than half of Creation Units Size daily, averaged over a period of 7 consecutive trading days.</p>																					
Minimum Application Amount/ Number of Units	<p>Directly with Fund: Market Makers / Eligible Investors can create / redeem in exchange of Portfolio Deposit and Cash Component in creation unit size at the Intra -Day NAV based Price.</p> <p>On the Exchange: Approx equal to price of 0.01 gram of Gold quoted on the NSE. On NSE, the units can be purchased / sold in minimum lot of 1 unit and in multiples therefore.</p>																					
Despatch of Redemption Request	<p>The redemption or repurchase proceeds shall be dispatched to the Unitholders within 3 working days from the date of redemption or repurchase.</p>																					
Benchmark Index	<p>Tier I Benchmark - Domestic Price of Physical Gold</p>																					
Dividend/IDCW Policy	<p>In terms of SEBI guidelines, the Trustees shall fix the quantum of income distribution and the record date (which is the date that will be considered for the purpose of determining the eligibility of investors). Income Distribution if distributed, will be paid (subject to deduction of tax at source, if any) to those Unitholders whose names appear in the Register of Unitholders on the notified record date. The AMC shall, within one calendar day of the decision by the Trustee, issue notice to the public, communicating the decision, including the record date. The record date shall be 2 working days from the date of publication in at least one English newspaper or in a newspaper published in the language of the region where the Head Office of the mutual fund is situated, whichever is issued earlier. In case of Units held in dematerialized mode, the Depositories (NSDL/ CDSL) will give the list of demat account holders and the number of Units held by them in electronic form on the Record date to the Registrars and Transfer Agent of the Mutual Fund who shall be eligible to receive the Income Distribution.</p> <p>The payment of dividend/IDCW to the unitholders shall be made within seven working days from the record date.</p> <p>It must be distinctly understood that the actual income distribution and the frequency thereof will inter-alia, depend on the availability of distributable surplus as computed in accordance with SEBI Regulations. The decision of the Trustee in this regard shall be final. There is no assurance or guarantee to Unitholders as to the rate of income distribution nor will that income distribution be distributed regularly on distribution of income, the NAV will stand reduced by the amount income distributed and statutory levy, if any, at the close of business hours on record date. The Trustee / AMC reserves the rights to change the record date from time to time.</p>																					
Name of the Fund Manager	<p>Mr. Chirag Mehta: Managing since June 01, 2024</p>																					
Name of the Trustee Company	<p>Quantum Trustee Company Private Ltd.</p>																					
Performance of the scheme as on May 31, 2024	<p>Quantum Gold Fund - Growth Option</p> <table><tr><th>Period</th><th>Scheme Returns %</th><th>Tier – I Benchmark Returns % (Domestic Price of Physical Gold)</th></tr><tr><td>1 Year*</td><td>18.89%</td><td>20.00%</td></tr><tr><td>3 Years**</td><td>12.67%</td><td>13.68%</td></tr><tr><td>5 Years**</td><td>16.51%</td><td>17.58%</td></tr><tr><td>7 Years**</td><td>12.65%</td><td>13.71%</td></tr><tr><td>10 Years**</td><td>9.37%</td><td>10.44%</td></tr><tr><td>Since Inception**</td><td>10.55%</td><td>11.43%</td></tr></table> <p>Past performance may or may not be sustained in the future. *Annualized ** CAGR Date of Inception: February 22, 2008.</p> <p>Absolute Returns for the last 5 Financial Years</p>	Period	Scheme Returns %	Tier – I Benchmark Returns % (Domestic Price of Physical Gold)	1 Year*	18.89%	20.00%	3 Years**	12.67%	13.68%	5 Years**	16.51%	17.58%	7 Years**	12.65%	13.71%	10 Years**	9.37%	10.44%	Since Inception**	10.55%	11.43%
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Additional Scheme Related Disclosures

1. Scheme's Portfolio Holdings as on May 31, 2024 – https://www.quantumamc.com/FileCDN/Pdf/Top_10_holding_and_Fund_allocation.xlsx
2. Disclosure of name and exposure to top 7 issuers, stocks, groups and sectors as a percentage of Nav of the Scheme in case of debt and equity ETFs/Index funds through a functional website link that contains detailed description – Not Applicable
3. Scheme's Portfolio Turnover Ratio: Not Applicable

Expenses of the Scheme Load Structure

Continuous Offer

Type of Load	Load chargeable (as % of NAV)
Exit Load	NIL

Recurring expenses

The AMC has estimated that upto 1.00 % of the daily net asset of the scheme will be charged as the expense ratio to the Scheme as permitted under Regulation 52 of SEBI (Mutual Funds) Regulations, 1996. For actual current expense being charged, the investor should refer to the website of the Mutual Fund viz. www.QuantumAMC.com. The Fund would update the current expense ratio of the scheme on the website at least three working days prior to the effective date of the change. Investor can refer <https://www.quantumamc.com/total-expense-ratio> for total expense ratio details. Additionally, the Fund will disclose the Total Expense Ratio (TER) of the Scheme on daily basis on the website of AMFI (www.amfiindia.com).

The maximum limit of recurring expenses that can be charged to the Scheme would be as per Regulation 52 of the SEBI (MF) Regulation, 1996. Investors are requested to read "Section- Annual Scheme Recurring Expenses" in the SID.

Actual expenses for the financial year 2023-24:

Direct Plan – ₹1,32,83,836.60 (0.78%)

Tax treatment for the Investors (Unitholders)

Investor will be advised to refer to the details in the Statement of Additional Information and also independently refer to his tax advisor.

Daily Net Asset Value (NAV) Publication

The NAV will be disclosed on the website of the AMC www.QuantumAMC.com and on the website of Association of Mutual Funds in India www.amfiindia.com by 11.00 P.M. on every Business Days.

Indicative NAV (iNAV) shall be disclosed on a continuous basis of the stock exchange(s), where the units of the scheme are listed and traded. The iNAV shall be updated based on the latest available data for Gold. Accordingly, iNAV disclosed may either be static or dynamic depending upon the availability of the underlying price of Domestic Gold.

For Investor Grievances please contact

Name and Address of Registrar Registrars & Transfer Agent: KFin Technologies Limited Unit: Quantum Mutual Fund, Selenium Tower B, Plot number 31 & 32, Financial District, Nanakramguda Serilingampally Mandal, Hyderabad - 500032, Phone: +91 - 040-23312454	Investor may contact the AMC for any Queries/Clarifications/ Complaints to Mr. Chandrasen Manjrekar - Vice President Customer Relations at Email - CustomerCare@QuantumAMC.com , Telephone number - 1800 209 3863 / 1800 22 3863 (Toll Free). Ms. Rina Nathani - Investor Relation Officer (IRO) can be contacted at Quantum Asset Management Company Private Limited , 1st Floor, Appejay House, 3 Dinshaw Vachha Road, Churchgate, Mumbai - 400020, Telephone Number 022-61447800, Email - IRO@Quantumamc.com For any grievances with respect to transactions through Stock Exchange Platform for Mutual Funds, the investors should approach either the stockbroker or the investor grievance cell of the respective stock exchange. For further details / escalation please refer the Grievance Policy available on the AMC Website https://www.quantumamc.com/downloads/pdfs/grievance_report.pdf
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Unitholders' Information

Account Statement/Allotment Confirmation:

On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted by way of email and/or SMS or issue units in the dematerialized form as soon as possible but not later than 5 Business Days from the date of receipt of transaction request. The allotment confirmation will be sent to the applicant's registered e-mail address and/or mobile number. Investors / unit holders are therefore requested to provide their email id and mobile number in the application form at the time of subscription.

Thereafter, a Consolidated Account Statement for each calendar month shall be sent by mail / email on or before 15th of the succeeding month to the unit holders by the Depository for unit holders having Mutual Fund investments and holding demat account and by the AMC / Registrar for unit holders having Mutual Fund investments but do not have demat account for each calendar month in whose folios transactions have taken place during the month. The CAS shall contain details relating to all the transactions carried out by the investor / unit holder across all schemes of all mutual funds or transactions in demat account during the month and holding at the end of the month.

The CAS issued for the half year (September / March) shall include:

- The amount of actual gross commission paid to the distributors (in absolute terms) during the half-year period against the concerned investors /unit holders total investments in each scheme.
- Average Total Expense Ratio of the scheme (in percentage terms) for the half-year period for each Scheme's applicable plan (regular or direct or both) where the concerned investor / unit holder has actually invested in.

The half-yearly CAS shall not be issued to those investors who do not have any holdings in Schemes and where no commission against their investment has been paid to distributors, during the concerned half-year period.

The CAS detailing holding across all schemes of all mutual funds at the end of every six months (i.e. September / March), shall be sent by mail/ email as per the timeline specified by the SEBI from time to time i.e. on or before 21st day of succeeding month by the Depositories to all such investors / unit holders which has demat account with nil balance and no transaction in securities or in folio has taken place during the period.

The investor may request for a physical Account Statement by writing / calling to the AMC / Investor Service Center / Registrar & Transfer Agent. The AMC and Mutual Fund shall provide the physical Account Statement to the investor within 5 Business Days from the receipt of such request without any charges.

Portfolio Disclosures

The Fund will disclose portfolio (along with ISIN) in user friendly & downloadable spreadsheet format, as on the last day of the month / half year for the scheme on its website www.QuantumAMC.com & on the website of AMFI www.amfiindia.com within 10 days from the close of each month / half year.

In case of unitholders whose email addresses are registered, the Fund will 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 Fund will publish an advertisement every half-year in the all India edition of at least two daily newspapers, one each in English & Hindi, disclosing the hosting of the half yearly statement of the scheme's portfolio on the AMC's website www.QuantumAMC.com & on the website of AMFI www.amfiindia.com. The Fund will provide physical copy of the statement of scheme portfolio without any cost, on specific request received from a unitholders.

(I) Half – Yearly Financial Results

The Fund shall within one month from the close of each half year, (i.e. March 31 and on September 30), host a soft copy of its unaudited financial results on its website www.QuantumAMC.com. Further, the Fund shall publish an advertisement disclosing the hosting of such unaudited half yearly financial results on their website, in at least one national English daily newspaper having nationwide circulation and in newspaper having wide circulation published in the language of the region where the Head Office of the Mutual Fund is situated.

(II) Annual Report

The AMC / Mutual Fund shall be sent the Scheme wise annual report or an abridged summary thereof within four months from the date of closure of the relevant accounting year i.e. March 31 each year to all investors / unit holders as per the following mode:

- by e-mail to the investors / Unit holders whose e-mail address is available with the AMC / Fund.
- in physical form to the investors / Unit holders whose email address is not registered with the AMC / Fund and/or those Unit holders who have opted / requested for the same.

The physical copies of the scheme wise annual report or abridged summary shall be made available to the investors / unit holders at the registered office of the AMC.

A link of the scheme annual report or abridged summary thereof shall be displayed prominently on the website of the Fund and shall also be displayed on the website of Association of Mutual Funds in India.

The AMC / Mutual Fund shall publish an advertisement every year disclosing the hosting of the scheme wise annual report on their respective website and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter), etc. through which unitholders can submit a request for a physical or electronic copy of the scheme wise annual report or abridged summary thereof. Such advertisement shall be published in the all India edition of at least two daily newspapers, one each in English and Hindi.

Dated: June 26, 2024.

INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM

1. Scheme features and investment details

QUANTUM GOLD FUND

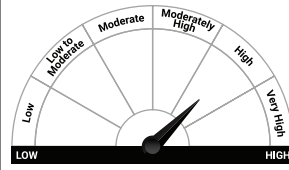
An Open Ended Scheme Replicating / Tracking Gold

This product is suitable for investors who are seeking*

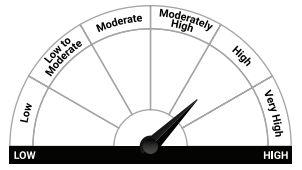
- Long term returns
- Investments in physical gold

Tier I Benchmark:
Domestic Price of Physical Gold

SCHEME RISK-O-METER



BENCHMARK RISK-O-METER (TIER I)



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

INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM Continued...

2. General Instructions	<p>a) Please read the Key Information Memorandum, Scheme Information Document (SID) of the respective scheme(s) and Statement of Additional Information (SAI) containing the terms of offer carefully before investing.</p> <p>b) Please Tick (✓) in the appropriate box (□), where boxes have been provided.</p> <p>c) Application Form should be filled legibly in ENGLISH in BLOCK letters using Black or Dark Blue ink. Incomplete application forms are liable to be rejected. Please refer to the checklist at the end of the application form to ensure that the requisite details and documents have been provided in order to avoid unnecessary delays and / or rejection of your application.</p> <p>d) Please strike out any section that is not applicable. Correction/Cancellation on any of the information should be countersigned by the investor.</p> <p>e) All applicants are deemed to have accepted the terms subject to which the offer is being made and bind themselves to the terms upon signing the Application Form and tendering the payment.</p> <p>f) In case of applications under Power of Attorney or by a Limited Company or by a Corporate Body or Eligible Institution or a Registered Society or a Trust or a Fund the original Power of Attorney or the certified copy thereof duly notarised and the relevant resolution or authority to make the application, as the case may be including authority granted in favour of the officials signing the application and their specimen signature etc., or duly certified copy thereof alongwith a certified copy of the Memorandum and Articles of Association and/or bye-laws and/or trust deed and/ or partnership deed and certificate of registration must be lodged at the office of the Registrar, quoting the serial number of application simultaneously with the submission of the Application Form, failing which the application is liable to be rejected.</p> <p>g) All communications and payments will be made to the sole/first applicant.</p> <p>h) While processing the redemption/switch out request in case Quantum AMC/Registrar come across a signature mismatch, then Quantum AMC/Registrar reserves the right to process the redemption/switch only on the basis of supporting documents confirming the identity of the investors. List of such documents would be notified by Quantum AMC from time to time.</p>
3. Existing Unitholder Information	<p>An existing investor should mention the correct Folio number and name. Investors should note that there will be no change to the existing Investor Profile Details mentioned in the Existing Folio.</p>
4. A) Permanent Account Number (PAN)	<p>Permanent Account Number (PAN) issued by the Income Tax Authorities has been made mandatory for all the applications received in the Scheme, irrespective of the amount of transaction (except MICRO Investments). Accordingly it is mandatory for investor's to provide their PAN along with self-attested copy of PAN Card while making an application for Purchase of Units. In case of joint holding, PAN details of all holders should be submitted. In case the application is on behalf of minor /PoA holder, PAN details of the Guardian/ PoA holder must be submitted. PAN is not mandatory in the case of applicant resident is in the State of Sikkim, Central Government, State Government entities and the officials appointed by the courts e.g. Official liquidator, Court receiver etc (under the category of Government); however sufficient documentary evidence shall have to be submitted for verifying that they are residents of the State of Sikkim. Applications without the aforesaid details are liable to be rejected without any reference to the investors. The PAN Exempt KYC Registration Number (PEKRN) needs to be provided in case of PAN exempt cases.</p>
B) Know Your Customer (KYC)	<p>For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee / AMC.</p>
5. Applicant Information	<p>a. Name should be given in full without any abbreviations. Preferably write exactly as it appears in your Bank Account & demat records or as it appears in the incorporation document or demat account as the case may be.</p> <p>b. Name, Date of birth of the Minor, Name of Parent/Guardian and relationship with minor is mandatory for investment on behalf of a Minor applicant, proof of date of birth and relationship proof is mandatory.</p> <p>c. Name of the Contact Person, email and Telephone no. should be mentioned in case of investments by Company, Body Corporate, Trust, Society, FII and other non-individual applicants.</p> <p>d. The signature should be in English or in any of the Indian languages. Thumb Impressions must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal. Application by minor should be signed by the guardian. In case of H. U. F., the Karta should sign on behalf of the H. U. F.</p> <p>e. The designated Investor Service Center/ Official Point of Acceptance will affix time stamp/manual stamp and return the acknowledgement slip from the application form, to acknowledge receipt of the application. No separate receipt will be issued for the application money.</p> <p>f. Please fill in all the fields to prevent rejection of your Application Form. Please refer to the checklist provided at the end of the Application Form to ensure that the necessary details and attachments are made available. The application complete in all respects along with the cheque/ fund transfer instructions must be submitted to the nearest designated Investor Service Center. Official Points of Acceptance Applications which are incomplete, invalid in any respect or not accompanied by cheque or fund transfer instructions for the amount payable are liable to be rejected.</p> <p>g. Investors must write the Application Form number / Folio number on the reverse of the cheques accompanying the Application Form.</p> <p>h. Name and address must be given in full (P.O. Box Address alone is not sufficient). In case of NRIs/FIIs 'Overseas Address' should also be provided failing which application may be rejected. In addition, Indian address should be stated for correspondence.</p>

- i. Differently abled here refers to people with Blindness, Low vision, Leprosy-cured, Hearing impairment, Loco motor disability, Mental retardation, Mental illness etc. as defined under the Persons with Disabilities Act, 1995, which ensures Participation and Equality of the People with Disabilities. This is as per the definition laid down by the Department of Empowerment of Persons with Disabilities, Government of India. http://disabilityaffairs.gov.in/upload/uploadfiles/files/PWD_Act.pdf.
- j. Some additional details are required for validating your identity for certain transactions / Communications. Hence please fill annual income, mobile number and email id in case of all applicants.
- k. Please provide email ID & Mobile Number, this will help us send investment / product related communication and resolve any queries more promptly. This is compulsory for all electronic/telecommunication facilities available now and to be introduced in future.
- l. In the event the application has more than one investor and the mode of holding is not specified in the application form, the default option for holding would be considered to be "anyone or survivor". However, in all such cases, communications, proceeds of all income distribution/redemption will be paid to the first named holder.
- m. The minor shall be the first and the sole holder in an account. There shall not be any joint accounts with minor as the first or joint holder.
- n. Date of birth of the minor along with photocopy of supporting documents as enumerated below shall be mandatory while opening the account on behalf of minor:
 - 1. Birth certificate of the minor, or 2. School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or 3. Passport of the minor, or 4. Any other suitable proof evidencing the date of birth of the minor.
- o. Guardian in the folio on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian.
- p. In case the Occupation is not specified, the default occupation will be considered as "Private Sector Service" and in case the Income slab is not selected, the default income slab (minimum income) "Upto 1 Lac" will be considered.

6. Power Of Attorney

Applicants intending to apply for units through a Power of Attorney (POA) must ensure that the issuer of the POA and the holder of the POA must attach proof of KYC Compliance to be provided at the time of investment.

7. Electronic/ Telecommunication Facility

Electronic communication will be sent to folios where email id is available. Newsletters, addenda and other general information will be sent to you via email only. Physical copies of the same will not be sent. As per SEBI guidelines, Annual Report will be forwarded to the registered email id i.e. registered with the AMC. In case unitholder desires to receive physical copy of the same you need to tick on the box accordingly.

8. Bank Account Details

SEBI Regulations have made it mandatory for investors to mention the Bank Name & address of branch and Bank Account Number in their Investment application form in order to protect the interest of investors from fraudulent encashment of cheques. For registering multiple bank accounts please fill separate Form for Registering/ Adding/cancellation of Multiple Bank Accounts. Individuals / HUF can register upto 5 bank accounts and Non Individuals upto 10 bank accounts.

Please attach either a Cancelled Cheque with first applicant name and account number pre-printed on the face of the cheque or a Bank Statement with current entries not older than 3 months or a Certified Bank Passbook with current entries not older than 3 months or a Bank Letter/Certificate duly signed by Bank Branch Manager/Authorized Personnel. If photocopy of any document is submitted, the copy should be certified by the Bank Manager or self attested copy along with Original documents for verification.

Additionally the AMC may call for any additional documents, wherever required on case to case basis." In case the investor is a minor, the bank account details for redemption purpose should be of the minor i.e. the minor should be an account holder in the bank account.

PAYMENT OF REDEMPTION /INCOME DISTRIBUTION:

In case of receipt of redemption request with new bank account there will be a cooling period of 10 calendar days for validation of new Bank mandate and dispatch of redemption proceeds shall be completed within 10 business days. In case the bank change request received along with the redemption request is invalid, then the change of bank will not be processed and redemption/income distribution proceeds, if any, will be processed as per the last registered Bank account with the Fund.

In the case of NRIs, payments shall be:

- (i) Credited only to NRE account of the NRI investor where the payment for purchase of Units repurchased/ redeemed was made out of funds held in NRE account or
- (ii) Credited, at the NRI investor's option, to his/her NRO account, where the payment for the purchase of the Units repurchased /redeemed was made out of funds held in NRO account or
- (iii) Remitted abroad or at the NRI investor's option, credited to his/ its NRE/FCNR/NRO account, where the Units were purchased on repatriation basis and the payment for the purchase of Units repurchased / redeemed was made by inward remittance through normal banking channels or out of funds held in NRE/FCNR account.

Investors are requested to provide the following details along with the mandatory requirement of bank account details (bank, branch address, and account type and account no.) in the application form for electronic fund transfer (EFT) of income distribution / redemption amount to the unit holders bank account. Quantum AMC will automatically extend this facility to all unit holders in case the bank account as communicated by the unit holder is with any of the bank providing EFT facility.

The 11 digit IFSC (Indian Financial System Code). The 9-digit MICR (Magnetic Ink Character Recognition) number appearing next to the cheque number in the cheque leaf is to be mandatorily given.

Based on the above information AMC will enable secure transfer of your redemption and income distribution via the various electronic modes of transfers (RTGS /NEFT / Direct Credit mode that are available in the banking system).

This facility of EFT is safe and fast and eliminates the potential risk of loss of instruments in transit through physical mode. The Mutual Fund, however, reserves the right to issue a cheque / demand draft to unit holders residing at locations where this facility is not available. "If the remittance is delayed or not affected for reasons of incomplete or incorrect information, Quantum AMC cannot be held responsible". For validation of IFSC/MICR code, investor shall attach the cancelled cheque/ copy of cheque. If these documents are not provided the fund will not be responsible for consequent delay in receipt of payment. Fund is also not responsible for bankers delay.

9. FATCA and CRS Details

FATCA is a tax reporting regime that obligates all financial institutions to report information to the relevant tax authorities about US reportable persons and certain entities in which U.S. persons hold a substantial ownership interest. India signed the Inter-Governmental Agreement (IGA) with the U.S. on July 9, 2015.

CRS is the OECD' & G-20's Model Competent Authority Agreement for multilateral tax information sharing. It enables automatic exchange of tax information based on the Standard through bilateral tax treaty networks. India signed the CRS Agreement on June 3, 2015. The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which requires Indian financial institutions 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. For meeting compliance requirements, 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. If there is any change in the information provided, kindly intimate the same to us within 30 days.

10. Mode Of Payment

1. As required by AMFI, Quantum Mutual Fund shall not accept applications for subscriptions with third party payment instruments.
2. Investors may make payment by single Cheque/ DD payable locally in the city where the application form is submitted at Quantum AMC/ K-Fin Technologies Collection Centers or electronic mode such as RTGS/NEFT directly to Mutual Fund Collection account.
3. The cheque should be drawn on any bank which is situated at and is a member/sub member of the bankers clearing house. Cheque drawn on the bank not participating in the clearing house will not be accepted.
4. Payment through Stock invest, outstation cheques and cash will not be accepted. The AMC shall bear the bank charges incurred by the investor in obtaining the demand draft; except for Liquid Schemes (As per demand draft charges prescribed by State Bank of India). In that case, the investor can obtain a draft for investment amount net of draft charges. The AMC shall not refund any demand draft charges in cash.
5. The cheque should be drawn in favor of "Quantum Mutual Fund & PAN (number)" or Quantum_(Scheme name) & PAN (number)" and crossed 'Account Payee Only'.
6. Returned cheques will not be presented again for collection and the accompanying application will be rejected.
7. Single cheque for investments in multiple schemes and multiple cheques for investments in Single Scheme will not be accepted.
8. If the income distribution amount under Payout of IDCW Facility/ Option in QLF and QDBF is less than or equal to ₹500/- and ₹100/-respectively the same will be reinvested.
9. In case of demand drafts, unit holder should attach necessary supporting documents as required by the fund, like Bank certificate, self attested Bank Pass Book or statement to prove that the funds are from a Bank account held by the first Unit holder only else the fund reserves the right to reject the application or call for additional details.
10. NRI / PIO/ FII's / FPI's Repatriation Basis - In the case of NRIs / PIO, payment may be made either by inward remittance through normal banking channels or out of funds held in their Non-Resident (External) Rupee Account (NRE)/ Foreign Currency (Non-Resident) Account (FCNR). FII's / FPI's shall pay their subscription either by inward remittance through normal banking channels or out of funds held in Foreign Currency Account or Non-Resident Rupee Account maintained by the FII with a designated branch of an authorized dealer with the approval of the RBI. Non Repatriation Basis - In the case of NRIs, payment may be made either by inward remittance through normal banking channels or out of funds held in their NRE/FCNR/Non-Resident Ordinary Rupee Account (NRO). Please indicate by ticking the relevant account from which payment is being made.

11. Nomination Details

Individual investors while applying for Units singly/ jointly can make a nomination at the time of initial investment or during subsequent investments.

1. The nomination can be made only by individuals applying for /holding units on their own singly or jointly. Nonindividuals including society, trust (other than a religious or charitable trust), body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney, and folios held by minor cannot nominate. If the units are held jointly, all joint holders will have to sign the nomination form.
2. A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the Unit Holder. Nomination can also be made in favor of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
3. A Non-Resident Indian can be a Nominee subject to the exchange control regulations in force, from time to time.
4. Nomination in respect of the units stands rescinded upon the redemption/ transfer/ transmission of units.
5. Transmission of units in favour of a Nominee shall be a valid discharge by the Asset Management Company (AMC) against the legal heir.
6. The cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination. On cancellation of the nomination, the nomination shall stand rescinded and Quantum AMC/ Fund/ Trustees shall not be under any obligation to transmit the units in favour of the Nominee.
7. Nomination is mandatory in case of single holding. In case you do not wish to nominate please tick accordingly.

12. Demat Account

The unit holders would have an option to hold the units in dematerialized form. The applicant intending to hold units in dematerialized form will be required to have a beneficiary account with a Depository Participant (DP) of the NSDL/CDSL and will be required to mention in the application form DP ID, DP Name and Beneficiary Account No. with the DP name at the time of subscribing to the units of the Scheme.

Investors have to ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant. If the details mentioned in the application are incomplete/ incorrect, not matching with the Depository data, then Units will be issued in Physical mode and Statement of Account will be issued to the Unit holder.

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

In case of holding in demat account the bank mandate, mode of holding, nominee details, contact details etc. will be as per the details stated in the demat account and not as per this application.

In case an investor desires to redeem, the redemption request can be placed through Depository Participants and Exchanges specified intermediaries where NSE MFSS/ BSE StAR MF platform is available for redeeming of Mutual Fund Units.

Kindly note that facility to subscribe/ hold units in demat form is not available for Quantum Liquid Fund - Reinvestment of Daily IDCW Facility, Switches and SWP/ STP investments.

In case of Unit holders holding units in demat (electronic) mode, a demat statement will be sent by Depository Participant to the Unit holders.

13. List Of Documents

You are requested to enclose the relevant documents as listed in the check list of accompanying documents depending on the applicant's status and tick in the box against the document.

1. Minimum Application Amount / No. Of Units	<p>Market Makers / Eligible Investors can create / redeem in exchange of Portfolio Deposit and Cash Component in creation unit size at the Intra -Day NAV based Price.</p> <p>based Price. Presently one Creation Unit Size is equal to 1,20,000 QGF units and in multiples thereof.</p> <p>Creation Unit Size is the number of QGF units, which is exchanged for "Portfolio Deposit" which would consist of Physical Gold of defined purity and quantity, and "Cash Component".</p>
2. Portfolio Deposit	<p>Portfolio Deposit shall consist of Physical Gold which will be in predefined quantity and purity and will be held by the Custodian / Sub- Custodian as may be specified by the AMC and will be defined and announced by the AMC and will vary from time to time.</p>
3. Cash Component	<p>Cash Component represents the difference between the applicable net asset value of units in Creation Unit Size and the market value of physical Gold. The difference will represent the accrued interest, income earned by the Scheme, accrued annual charges including management fees and residual cash in the Scheme. In addition the cash Component may include transaction cost as charged by the Custodian/DP and other incidental expenses for creating units. The cash component will vary from time to time and will be decided and announced by the AMC.</p> <p>The Portfolio Deposit and Cash Component for QGF units may change from time to time due to change in NAV. The Fund may from time to time change the size of creation unit in order to equate it with marketable lots of underlying instruments.</p> <p>The AMC discloses the Portfolio Deposit and Cash Component on daily basis on the website i.e. www.QuantumAMC.com for creating and redeeming units in Creation Unit Size for QGF.</p>
Procedure For Creating QGF Units In Creation Unit Size – Portfolio Deposit	<p>The requisite physical gold constituting the Portfolio Deposit has to be submitted to the Custodian/ AMC while the Cash Component has to be paid to the Custodian / AMC. On confirmation of the same by the Custodian/ AMC that the pre-defined quantity and purity of physical gold has been received, the AMC will transfer the respective number of QGF Units into the investors DP account. The AMC may create "Creation Units" prior to receipt of all or a portion of the relevant Portfolio Deposit and Cash Component in certain circumstances where the purchaser, among other things, posts collateral to secure its obligation to deliver such outstanding Portfolio Deposit Securities and Cash Component.</p> <p>The investors need to furnish a Cheque towards payment of Cash Component or credit the Cash Component to the collection account of the Fund.</p>
5. Good / Bad Delivery Of Gold	<p>i. Delivery would be in bars of weight 1 kg only (or such other denomination at the discretion of the AMC). The gold bars delivered should be of a minimum of 0.995 fineness.</p> <p>ii. Bars are received from a refiner accredited to London Bullion Market Association (LBMA).</p> <p>iii. Details in Assay Certificate matches with the details on the bar with regard to fineness, bar number, refiner etc.</p> <p>iv. Assay certificate is duly signed by the signatory with the refiners logo printed on it.</p> <p>v. The Box number / Bar number should match with the Box number / Bar number listing.</p> <p>vi. Copy of delivery order issued to vault agent by the investor/counterparty alongwith a letter from the vault agent of the investor/counterparty (through its authorized signatory) certifying Master Airway Bill No. (MAWB), box and bar nos, date of import, location of customs clearance and also stating that all statutory charges have been paid and the respective bars have been directly imported by the counterparty and have not left the physical custody of vaulting agent at any time after import.</p> <p>Certified Vault agents would be Brinks Arya Pvt. Ltd.</p> <p>vii. Original VAT invoice. The rate of gold indicated therein would be the same as defined by the AMC in the portfolio deposit. In case the AP/Eligible Investor does not have a VAT registration, the purchase tax, if any, paid by the Fund on receipt of Gold from the AP/Eligible Investor, will be recovered from the AP/Eligible investor.</p> <p>The above norms are indicative and the AMC reserves the right to alter these without giving any notice. The AP / Eligible Investor may verify from the Custodian the good / bad delivery norms before delivery of gold. The gold delivered will be verified by the Custodian or its authorized Vaulting Agents for compliance with good / bad delivery norms.</p> <p>The Custodian will have a right to reject any delivery as bad and the decision of the Custodian in this regard will be final. Where the delivery is rejected by the Custodian on account of not meeting 'good delivery norms', it shall be the responsibility of the AP / Eligible Investor to collect the gold from the premises of Custodian / authorized Vaulting Agent.</p> <p>The AMC will on confirmation from the Custodian that the gold submitted meets the good delivery norms, instruct the Registrar to upload the units in the demat account of the investor.</p>

6. Delivery Of Gold

All deliveries, in case of subscription, shall be in Mumbai only. In case of subscription, it shall be the responsibility of the AP / Eligible Investor to deliver the Gold to any of the Custodian's authorized vaulting agents. Similarly, in case of redemption the AMC will deliver the Gold to the AP / Eligible Investor at the premises of the Custodian's authorized vaulting agent. Deutsche Bank AG, the Fund's Custodian, has appointed Brinks Arya India Private Limited as their vaulting agents. Their contact details are as under:

Mumbai Branch:-

Brinks Arya India Private Limited (Brinks)
Cenzer House, Sheikh Menon Street, Zaveri Bazar, Mumbai - 400 002
Contact Person for Custody - Mr. Avinash R. Shetty
Tel No. - 91-22-23414186/87
Fax No. - 91-22-23414189
e-mail address - Avinash.Shetty@brinksglobal.com

Ahmedabad Branch:-

Brinks Arya India Private Limited (Brinks)
GF- 1, Block-A Aust Mangal Residency, Nr. Sharda Society, Opp Dharnidhar Derasar, Vasna, Ahmedabad - 380007
Contact Person for Custody - Mr. Ravindra Yadav
Tel No. - 91-79-26602353
Fax No. - 91-79-26600539
e-mail address - Ravindra.yadav@brinksglobal.com

Brinks will accept / give deliveries of gold on all working days between 9:00 am to 5:00 pm.

7. Procedure For Redeeming Qgf Units In Creation Unit Size - Portfolio Deposit

The requisite number of QGF Units equaling the Creation Unit Size has to be transferred to the Fund's DP account and the Cash Component to be paid to the AMC / Custodian. On confirmation of the same by the AMC, the custodian will transfer the Portfolio Deposit by handing over the physical Gold of the predefined purity and quantity to the investor and pay the Cash Component, if applicable. The AMC may redeem the QGF units in Creation Unit size prior to receipt of all or portion of the relevant QGF units in certain circumstances where the purchaser, among other things, posts collateral to secure its obligation to deliver such outstanding QGF units.

Demat Account Details:

Depository Name	Deutsche Bank AG
DP ID (CDSL)	16013900
Client ID	00008821
Name of the account	Quantum Gold Fund

8. Procedure For Creation Of Qgf Units In Creation Unit Size – Cash Subscription

The payment of requisite cash for creation of units in Creation Unit Size at applicable NAV based prices shall be made as determined by the AMC only by means of Payment Instruction of Real Time Gross Settlement (RTGS) / National Electronic Fund Transfer (NEFT) / Funds Transfer Letter / Transfer Cheque of a bank where QGF has a collection account. The AMC will arrange to buy the underlying physical gold on behalf of the Eligible Investors / Market Makers on receipt of the subscription application along with the subscription amount. The underlying physical gold shall be purchased within 3 Business Days on the receipt of the subscription amount. The Eligible Investors / Market Makers need to incur all the actual cost of purchase of the underlying physical gold and funding of market movement from the time of application to actual buying of underlying physical gold by the AMC in addition to the cash component (if any) as determined by the AMC from time to time. Any excess / shortfall in the amount paid on account of the subscription will be refunded / collected to / from the Eligible Investors / Market Makers on allotment of units.

Collection Account to be used for Creation of Unit Size - Cash Subscription:

Beneficiary Account name	Quantum Gold Fund – Collection Account
Bank Name	HDFC BANK LTD
Beneficiary Account No	00600350108142
Branch Address	FORT - NANIK MOTWANI MARG
IFSC code	HDFC0000060

9. Procedure For Redeeming Of Qgf Units In Creation Unit Size - Cash Redemption

The requisite QGF units in demat mode have to be transferred to the Fund DP's account along with the application for redemption of units in Creation Unit Size at applicable NAV based prices. The AMC will arrange to sell physical gold on behalf of the Eligible Investors / Market Makers within 3 Business Days of the receipt of request for redemption. The Eligible Investors / Market Makers need to incur all the actual costs in connection with the sale of physical gold and market movement from the time of application to actual selling of physical gold by the AMC in addition to the cash component (if any) as determined by the AMC from time to time. The sale proceeds of the physical gold, after adjusting necessary charges / cost will be remitted to the Eligible Investors / Market Makers.

Demat Account to be used for Redeeming QGF units in Creation Unit Size – Portfolio Deposit :

Depository Name	Deutsche Bank AG
DP ID (CDSL)	16013900
Client ID	00008821
Name of the account	Quantum Gold Fund



COMMON APPLICATION FORM FOR ETF

(Applicable Form For Market Makers & Large Investors)

(Continuous Offer of units at Applicable NAV)

Quantum Gold Fund ETF

(An Open Ended Scheme Replicating/Tracking Gold)

Application No: QMFP

1st Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400020 | www.QuantumAMC.com

1. INTERMEDIARY INFORMATION

Name & ARN Code	Sub - Broker Code	EUIN	RIA Code	E-Code / RM Code

I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.
(All sections to be filled in English and in BLOCK LETTERS). Fields marked with (*) are mandatory.

Sign Here First/Sole Applicant/Guardian/PoA Holder	Sign Here Second Applicant	Sign Here Third Applicant
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Market Maker/Large Investor Details (Please tick anyone) ☐ Market Maker ☐ Large Investor

Transaction Type ☐ Subscription ☐ Redemption

2. EXISTING UNIT HOLDER INFORMATION

Folio No. Name of the Unit Holder

3. MODE OF HOLDING (Please tick)

☐ Single ☐ Joint ☐ Any one or Survivor

(The particulars provided should match with that in your demat account)

4. DEMAT ACCOUNT DETAILS - MANDATORY FOR INVESTING IN THIS SCHEME

NSDL	DP Name _____ DP ID <input type="text"/>	Beneficiary Account No. <input type="text"/>
CDSL	DP Name _____ Beneficiary Account No. <input type="text"/>	

Investor shall provide a copy of the DP statement enable us to match the demat details as stated in the application form. Statement of holding of units will be issued only DPs/Depositories.

5. PAN DETAILS

1 st Applicant	
2 nd Applicant	
3 rd Applicant	
Guardian	
POA Holder	



ACKNOWLEDGEMENT SLIP (To be filled in by the investor)

Application No: QMFP

Quantum Mutual Fund - 1st Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400020. www.QuantumAMC.com

Please scan this code, and fill in your details. Our representative will get in touch with you.



Date

Received from: Mr./Ms./M/s _____

an application for allotment Scheme _____ Quantum Gold Fund ETF

☐ Subscription ☐ Redemption

Units/Amount (₹): _____

Folio No. : _____

Collection Center's Stamp & Receipt Date and Time

Please note: All purchases are subject to realization of cheques (please refer Scheme Information Document)



6. *APPLICANT INFORMATION (Refer Instruction No. 6) (TO BE FILLED IN BLOCK LETTERS)Name of Sole/ 1st Applicant Mr./Ms./M/s. Date of Birth/Date of Incorporate Proof of DOB (Incase of Minor) ☐ Birth Certificate ☐ School leaving Certificate ☐ Passport☐ Other _____Gender ☐ Male ☐ Female ☐ Transgender (Applicable only individual investors)Guardian/Eligible Investors - (In case of Minor)/Eligible Investors (In case of non individual applicant) Relationship with Minor ☐ Father ☐ Mother ☐ Legal Guardian

Note: If Guardian is a Legal Gaurdian, please submit duly notarised copy of court order along with application.

If the sole/first applicant is differently abled; then please tick the prefered mode of communication: ☐ Email & SMS ☐ Voice ☐ BothRelationship Proof (With specified Guardian) ☐ Birth Certificate ☐ Passport ☐ Other _____

Address: Mailing Address of Sole/First Applicant (PO Box alone may not be sufficient) This address will be replaced with the address as per your demat records on validation of your demat data. Overseas Investor must provide Indian Address

City State Country Pin code Contact Details of Sole/First Applicant Mobile No. Email ID This Email ID belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ GuardianThis Mobile No. belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ GuardianTel No - STD Code Res. Off. Fax Overseas Address (mandatory for NRI/FII applicant). Applications from investors residing in USA or Canada shall not be accepted Address for correspondence (for NRI Applicants) ☐ Indian ☐ OverseasCity Country Zip code

Note: The address provided by you above will be replicated with the address as per demat record

Name of the 2nd Applicant ☐ Mr. ☐ Ms. ☐ M/s. Mobile No. Email ID Gender ☐ Male ☐ Female ☐ Transgender (Applicable only individual investors)This Email ID belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ GuardianThis Mobile No. belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ GuardianName of the 3rd Applicant ☐ Mr. ☐ Ms. ☐ M/s. Mobile No. Email ID Gender ☐ Male ☐ Female ☐ Transgender (Applicable only individual investors)This Email ID belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ GuardianThis Mobile No. belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian**7. KYC DETAILS** (Mandatory. Please Tick/ Specify. The application is liable to get rejected if details not filled.)**Tax Status (Applicable for First /Sole Applicant)**
☐ Resident Individual ☐ Fils ☐ NRI-NRO ☐ HUF ☐ Society ☐ Company ☐ Body Corporate ☐ Club/Society ☐ PIO
☐ Minor ☐ Government Body ☐ Trust ☐ NRI-NRE ☐ Bank & FI ☐ Proprietorship Firm ☐ Partnership Firm ☐ QFI
☐ Provident Fund ☐ NRI minor with gaurdian ☐ Others _____
Additional KYC Details

Occupation	Professional	Agriculturist	Housewife	Retired	Government Service/ Public Sector	Business	Forex Dealer	Student	Private Sector Service	Others
1 st Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
2 nd Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
3 rd Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
Guardian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____

Gross Annual Income Details	Below 1 Lac	1-5 Lacs	5-10 Lacs	10-25 Lacs	25 Lacs-1 Crore	>1 Crore	Net-worth in Rs.	Date
1 st Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(Net worth should	DD/MM/YYYY
2 nd Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	not be older	DD/MM/YYYY
3 rd Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	than 1 year)	DD/MM/YYYY
Guardian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		DD/MM/YYYY

PEP Details	1 st Applicant	2 nd Applicant	3 rd Applicant	Guardian
Are you a Politically Exposed Person (PEP)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you related to a Politically Exposed Person (PEP)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

For Non-Individual Investors (Please ✓)

Is the company a Listed Company or Subsidiary of Listed Company or Controlled by a Listed Company: ☐ Yes ☐ No (if No, please attach mandatory UBO Declaration)

☐ Yes ☐ No Foreign Exchange/Money Charger Services ☐ Yes ☐ No Gaming/Gambling/Lottery/Casino Services ☐ Yes ☐ No Money Lending/Pawning

8. POWER OF ATTORNEY (POA) (Refer Instruction Nos. 2 (f) & 7)

POA Name Mr./Ms. _____

If investment is being made by a Constitutional Attorney, please submit notarised copy of POA

9. *BANK ACCOUNT DETAILS OF THE FIRST/SOLE APPLICANT (FOR REDEMPTION IF ANY) (Refer Instruction No. 10)

Mandatory information - if left blank the application is liable to be rejected. (Mandatory to attach proof, in case the pay-out bank account is different from the source bank account.)

A/c Type [please ✓] ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR ☐ Other (please specify) _____

Bank Name IFSC MICR Code

Account No Branch City Pin Code

Enclosed (Please tick): ☐ Bank Account Details Proof Provided.

Preferred mode of payment Electronic Credit. RTGS IFSC/NEFT code will help us transfer the amount to your bank account quicker, electronically.

*Mandatory - Please attach either a Cancelled Cheque with first applicant name and account number pre-printed on the face of the cheque or a Bank Statement with current entries not older than 3 months or a Certified Bank Passbook with current entries not older than 3 months or a Bank Letter/Certificate duly signed by Bank Branch Manager/Authorized Personnel.

10. FATCA and CRS DETAILS For Individuals (Mandatory) (Non-Individuals are required to submit separate FATCA & CRS information (for non-individuals/Legal entity) and UBO Declaration Form available at www.QuantumAMC.com)

Category	1 st Applicant (including Minor)	2 nd Applicant/Guardian/POA	3 rd Applicant
Place/City of Birth			
Country of Birth			
Country of Citizenship/Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others, please specify _____	<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others, please specify _____	<input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others, please specify _____
Tax Residence Address Type (as per KYC records)	<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business	<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business	<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business
Are you a tax resident (ie, are you assessed for Tax) in any other country outside India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
	If "YES", please fill below for ALL countries (other than India) in which you are a Resident for tax purposes ie, where you are a Citizen/Resident/ Green Card Holder/Tax Resident in the Respective countries.		
Country of Tax Residency	(1) (2) (3)	(1) (2) (3)	(1) (2) (3)
Tax Identification Number OR Functional Equivalent	(1) (2) (3)	(1) (2) (3)	(1) (2) (3)
Identification Type (TIN of other, Please specify)	(1) (2) (3)	(1) (2) (3)	(1) (2) (3)
If TIN is not available, please tick the reason A, B, or C (as defined below)	(1) <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C (2) <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C (3) <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	(1) <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C (2) <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C (3) <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	(1) <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C (2) <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C (3) <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Reason A→ The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents. Reason B → No TIN required. (Select this reason Only if the authorities of the respective country of tax residence do not require the TIN to be collected). Reason C→ Others; please state the reason thereof			

11. CASH COMPONENT (Refer Instruction)

Incase of Subscription/Redemption by way of Portfolio Deposit kindly fill the following details:

☐ Cash Component ☐ Payable ☐ Receivable

Cash Component per Creation Unit (₹) _____ (in words)

Total Cash Component (₹) _____ (in words)

The AMC will remit/collect the Cash Component i.e. the difference between Net Assets Value (NAV) and the closing market price of the basket of securities of the underlying index as at the end of previous business day.

12. *INVESTMENT DETAILS (Please ✓) (Refer Scheme Specific Instructions)

☒ **Quantum Gold Fund ETF**

Portfolio Deposit[^] ☐ Cash Subscription[^] ☐

No. of units (in Figures): _____ (in Words): _____

Delivery Instruction Copy Submitted ☐ Yes ☐ Not Applicable

13. REDEMPTION DETAILS (Please ✓) ☒ Quantum Gold Fund ETF

Portfolio Deposit[^] ☐ Cash Redemption[^] ☐

Delivery Instruction Copy Submitted: ☐ Yes

No. of units (in figure) _____ No. of units (in words) _____

14. *PAYMENT DETAILS (Refer Instruction No. 11)Mode of Payment ☐ Cheque ☐ RTGS/NEFT ☐ IMPS ☐ Transfer Letter/Direct Credit (DC) ☐ DDCheque No./ RTGS/NEFT/IMPS/DC/DD Ref. No. Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Gross Amt (₹) DD Charges (₹) Net Amt (₹) Bank/Branch & City Account No. Account Type ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR**15. PHYSICAL COPY OF ANNUAL REPORT**☐ Opt In to receive the physical copy of Annual Report**16 NPO DECLARATION** (Mandatory for Trust and Society)

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

☐ Enclosed relevant documentary proof evidencing the above definition.

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

Registration Number of
DARPAN portal

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

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

Declaration and Signature(s)

I/We read and understood the contents of the Scheme Information Document and Statement of Additional Information and subsequent amendments thereto including the section on who cannot invest, "Prevention of Money Laundering" and "Know Your Customer", I/We hereby apply to Quantum Mutual fund for units of the Scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the Scheme. I/We further declare, I am / we are authorised to invest the amount & that the amount invested by me/us in the above mentioned Scheme(s) is derived through legitimate sources and is not held or designed for the purpose of contravention of any acts, rules, regulations or any statute or legislation or any other applicable laws or notifications, directions issued by the governmental or statutory authority from time to time. It is expressly understood that I/We have the express authority from our constitutional documents to invest in the units of the Scheme(s) and the AMC/Trustee/Fund would not be responsible if the investment is ultra vires thereto and the investment is contrary to the relevant constitutional documents.

Applicable to NRI only: I/We confirm that I am / we are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through approved banking channels from funds in my/our Non-Resident External/Ordinary Account/FCNR Account. Please (i) (Including amount of Additional Purchase Transaction made in future)

Signature(s)

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Place _____

Sole/1st Applicant/Guardian/Authorised Signatory

2nd Applicant / Authorised Signatory

3rd Applicant / Authorised Signatory

**Want To
Have The Latest
Information
About Us?**

 **Website** : www.QuantumAMC.com

 **Email** : CustomerCare@QuantumAMC.com

 **SMS** : <QUANTUM> to 9243-22-3863

 **Toll Free Helpline** : 1800-22-3863 / 1800-209-3863

 **Missed Call Facility** : 022 6829 3807



DECLARATION FORM OF ULTIMATE BENEFICIAL OWNERSHIP [UBO] / CONTROLLING PERSONS

(Mandatory for Non-individual Investors)

I: Investor details:

Investor Name	
PAN*	

* 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. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA. (for SMO) <input type="checkbox"/>	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA. (for SMO) <input type="checkbox"/>	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA. (for SMO) <input type="checkbox"/>
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-mmm-yyyy] #			
UBO / SMO PEP#	Yes – PEP. <input type="checkbox"/> Yes – Related to PEP. <input type="checkbox"/> N – Not a PEP. <input type="checkbox"/>	Yes – PEP. <input type="checkbox"/> Yes – Related to PEP. <input type="checkbox"/> N – Not a PEP. <input type="checkbox"/>	Yes – PEP. <input type="checkbox"/> Yes – Related to PEP. <input type="checkbox"/> N – Not a PEP. <input type="checkbox"/>
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 <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/>	Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/>	Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/>
UBO / SMO Email			
UBO / SMO Mobile			
UBO / SMO Gender	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
UBO / SMO Father's Name			
UBO / SMO Occupation	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>
SMO Designation#			

UBO / SMO KYC Complied?	<input type="checkbox"/> Yes / <input type="checkbox"/> No. If 'Yes,' please attach the KYC acknowledgement. If 'No,' complete the KYC and confirm the status	<input type="checkbox"/> Yes / <input type="checkbox"/> No. If 'Yes,' please attach the KYC acknowledgement. If No, complete the KYC and confirm the status.	<input type="checkbox"/> Yes / <input type="checkbox"/> No. If 'Yes,' please attach the KYC acknowledgement. If No, complete the KYC and confirm the status.
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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:

Designation:

Authorized Signatory

Name:

Designation:

Authorized Signatory

Name:

Designation:

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 settler 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

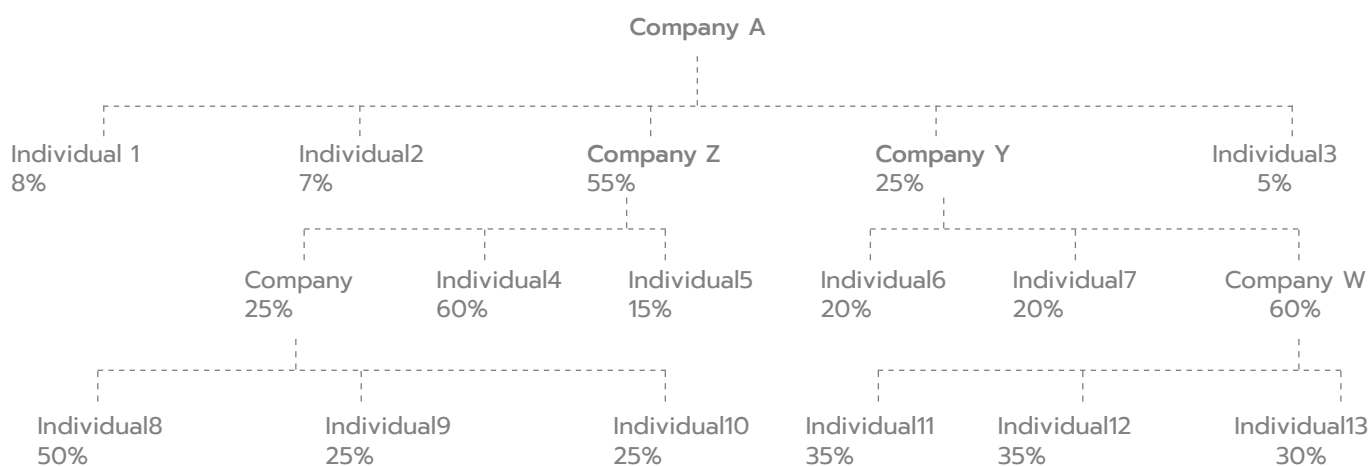
The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration 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



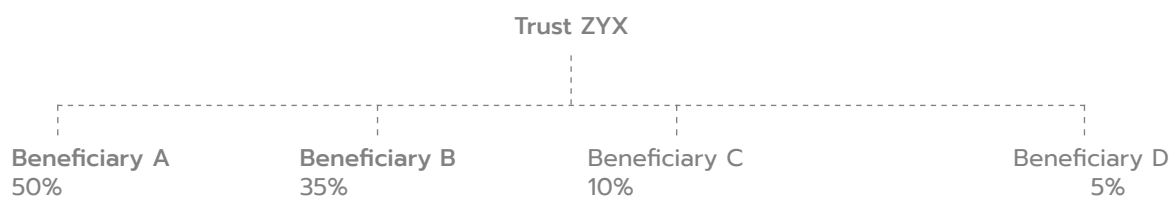
For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and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

Quantum Asset Management Company Pvt. Ltd.

Mumbai:

1st Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay
Reclamation, Churchgate, Mumbai - 400020

**Want To
Have The Latest
Information
About Us?**

 **Website** : www.QuantumAMC.com

 **Email** : CustomerCare@QuantumAMC.com

 **SMS** : <QUANTUM> to 9243-22-3863

 **Toll Free Helpline** : 1800-22-3863 /
1800-209-3863

 **Missed Call Facility** : 022 6829 3807