



# Common Application Form For ETF

(Continuous Offer of units at Applicable NAV)



## Quantum Gold Fund

(An Open Ended Scheme Replicating / Tracking Gold)



## Quantum Nifty ETF

(An Open Ended Scheme Replicating / Tracking Nifty 50 Index)

7<sup>th</sup> Floor, Hoechst House, Nariman Point, Mumbai - 400 021. [www.QuantumMF.com](http://www.QuantumMF.com)

India's 1<sup>st</sup> Direct to Investor  
Mutual Fund

MUTUAL FUND	TRUSTEE	SPONSOR	INVESTMENT MANAGER
<b>Quantum Mutual Fund.</b>	<b>Quantum Trustee Company Private Ltd.</b>	<b>Quantum Advisors Private Ltd.</b>	<b>Quantum Asset Management Company Private Ltd.</b>
7th Floor, Hoechst House, Nariman Point, Mumbai - 400 021	7th Floor, Hoechst House, Nariman Point, Mumbai - 400 021	6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021	7th Floor, Hoechst House, Nariman Point, Mumbai - 400 021

### 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 (SID) and Statement of Additional Information (SAI) available free of cost at any of the Investor Service Centre or distributors or from the website [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.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.

### PRODUCT LABEL

Name of the Scheme	This product is suitable for investors who are seeking*	Riskometer
<b>Quantum Gold Fund</b> (An Open Ended Scheme Replicating / Tracking Gold)	<ul style="list-style-type: none"> <li>Long term returns</li> <li>Investments in physical gold.</li> </ul>	<p>Investors understand that their principal will be at Moderately High Risk</p>
<b>Quantum Nifty ETF</b> (An Open Ended Scheme Replicating / Tracking Nifty 50 Index)	<ul style="list-style-type: none"> <li>Long term capital appreciation</li> <li>Investments in equity and equity related securities of companies in Nifty 50 Index.</li> </ul>	<p>Investors understand that their principal will be at Moderately High Risk</p>

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



# Quantum Gold Fund

(An Open Ended Scheme Replicating / Tracking Gold)

## Investment Objective

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, investments 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.

## Category of Scheme

Exchange Traded Fund

## Asset Allocation Pattern of the scheme

Types of Instruments	Normal Allocation (% of Net Assets)		
	Minimum (% of Net Assets)	Maximum (% of Net Assets)	Risk Profile
Physical Gold	95	100*	Medium to High
Money Market Instruments	0	5	Low

\*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.

**Note:** 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.

It may be clearly understood that the percentages above are only indicative and not absolute.

The Scheme would invest in money market instruments and CBLO, in order to meet the liquidity requirements of the Scheme.

## Investment Strategy

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.

## Risk Profile of the Scheme

Mutual Fund units involve investment risks including possible loss of principal. Please read the Scheme Information Document (SID) carefully for details on risk factors and other details before investment. Scheme specific Risk Factors are summarized below:

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.

Any changes in trading regulations by the stock exchange (s) or SEBI may affect the ability of Authorised 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 such 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.

## Risk Management Strategies

Risk is an important part of the investment functions. Effective Risk Management is critical to Fund Management for achieving financial goals. Investments made by the Scheme shall be made in accordance with Investment Objective of the Scheme and provisions of SEBI (Mutual Funds) Regulations.

The Fund has identified following Risk and designed Risk Management Strategies which is the part of the Investment Process to manage such risks.

Type of Risks	Risk Management Strategies
Tracking Error Risk – Risk of deviating away from the investment objective of tracking gold prices	The Fund follows a passive investment approach. The Fund does not try to time the market. It endeavors to stay near fully invested at all times.
Quality and Purity Risk – Risk of sub standard quality of gold	Gold purchased by the Fund is 0.995 purity and above. Gold sourced shall be from an LBMA accredited refiner only. The Fund has a well defined and specific good delivery norms policy to be followed by the custodian for acceptance of Gold
Custody risk – There is a risk that part or the entire scheme's gold could be lost, damaged or stolen.	To ensure the highest safety Gold is stored with renowned vaulting agencies in their professional vaults. Gold held by the Fund is fully insured.

## Option / Plan

The Scheme offers one option - Growth Option.

## Applicable NAV

i) The Fund creates / redeems units of the Scheme in 'Creation Unit Size' which is exchanged for portfolio Deposit which would consist of physical Gold of defined purity and quantity and Cash Component. The fund declares the Portfolio Deposit or Cash Component on the website [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com) and the same would be applicable for creating and redeeming unit size for that Business Day.

## SUBSCRIPTIONS:

### 1. Purchases for an amount of ₹ 2 lakh and above:

- In respect of valid application received upto 3.00 p.m. on a Business Day with NEFT / Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received / Cash Card / Debit Card / IMPS / RTGS / One Time Mandate NACH 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 ( 3.00 p.m.), 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 with NEFT / Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received / Cash Card / Debit Card / IMPS / RTGS / One Time Mandate NACH and funds for the entire amount of subscription / purchase as per the application are credited to the bank account of the Scheme and available for utilization before the cut-off time (3.00 p.m.) of the next Business Day, the closing NAV of the next Business Day shall be applicable;
- However, irrespective of the time of receipt of application, where the funds are not available for utilisation 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, provided the application is received prior to availability of the funds.

### 2. Purchases/switch-in for amount of less than ₹ 2 lakh:

- Where the application is received upto 3.00 pm on a Business Day with NEFT / Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received / Cash Card / Debit Card / IMPS / RTGS / One Time Mandate NACH - closing NAV of the day of receipt of application shall be applicable;
- Where the application is received after 3.00 pm on a Business Day with with NEFT / Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received / Cash Card / Debit Card / IMPS / RTGS / One Time Mandate NACH - closing NAV of the next Business Day shall be applicable; and
- Where the application is received with an outstation cheque or demand draft which is not payable on par at the place where it is received – closing NAV of day on which the funds for the cheque or demand draft is credited to the account of Scheme shall be applicable.

## REDEMPTIONS:

In respect of valid applications received upto 3 p.m. on a Business Day - the closing NAV of the day of receipt of application, shall be applicable.

In respect of valid applications received after 3 p.m. on a Business Day - the closing NAV of the next Business Day shall be applicable. However, as the Scheme is a Gold Exchange Traded Scheme, the subscriptions and redemptions of units would be based on the Portfolio Deposit and Cash Component as defined by the Fund for that respective Business Day.

### ii) On the Exchange:

As the Units of the Scheme are listed on NSE, an investor can buy / Sell units on continuous basis on the capital market segment of NSE during trading hours like any other publicly traded stock at prices which may be close to the actual NAV of the Scheme.

## Minimum Application Amount/ Number of Units

**Directly with Fund:** The investors can create / redeem in exchange of Portfolio Deposit and Cash Component in creation of unit size at NAV based Price.

**On the Exchange:** Approx equal to price of 1/2 gram of Gold quoted on the NSE.

On NSE, the units can be purchased / sold in minimum lot of 1 unit and in multiples thereof.

## Despatch of Repurchase (Redemption) Request

The Redemption / Repurchase proceeds shall be dispatched / credited to the registered bank account of the investor within 10 Business Days from the date of receipt of valid redemption / repurchase request.

## Benchmark Index

Domestic Price of Physical Gold.

## Dividend Policy

The Scheme does not offer any dividend option / plan.

## Name of the Fund Manager & Tenure of Managing the Scheme

Fund Manager - Mr. Chirag Mehta - Managing since May 1, 2009 (8.9 years)

## Name of the Trustee Company

Quantum Trustee Company Private Limited

## Performance of the scheme (as on January 31, 2018)

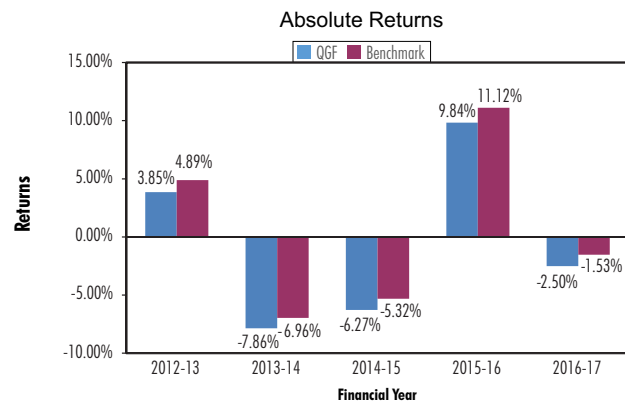
Period	Scheme Returns %	Benchmark Returns % (Domestic Gold Price)
1Year*	2.80	3.84
3 Years**	1.65	2.72
5 Years**	-1.32	-0.31
Since Inception**	8.67	9.44

Past performance may or may not be sustained in the future.

\* Annualized \*\* CAGR

Date of Inception – February 22, 2008.

## Absolute Returns for the last 5 Financial Years (Growth Option)



Past performance may or may not be sustained in future

## SCHEME PORTFOLIO HOLDINGS AS ON JANUARY 31, 2018

(i) Top 10 Holdings by Issuer:

Issuer	% to NAV
Gold	100.14
Cash receivable/payable	-0.14
<b>Grand Total</b>	<b>100.00</b>

(ii) Fund Allocation Toward Various Sectors:

Sector Allocation	% to NAV
Gold	100.14
Others	-0.14
<b>Grand Total</b>	<b>100.00</b>

## Note

Others include CBLO and cash & cash equivalents

(iii) To obtain scheme's latest monthly portfolio please refer the following link <https://www.quantumamc.com/schemeportfolio.aspx?SchemeId=0&FactSheetType=2>

## Portfolio Turnover Ratio for last one year

Not Applicable

## Expenses of the Scheme

### (i) Load Structure

Entry Load : Not Applicable

Upfront commission to distributors will be paid by the investor directly to the distributor, based on his assessment of various factors including the service rendered by the distributor.

**Quantum Mutual Fund does not charge Entry Load since inception.**

Exit Load : Nil

### (ii) Recurring expenses

As per SEBI regulations the total expenses of the scheme including the investment advisory fees shall not exceed 1.50% of the daily net assets.

The AMC has estimated that up to 1.25% of the daily net assets of the Scheme will be charged to the Scheme as expenses. For the current expenses being charged to the scheme, the investor should refer to the website of the Mutual Fund

No additional expenses as per Regulation 52(6A) (b) - for gross new inflow from specified cities will be charged to the scheme. Goods and Services Tax and Statutory Levies if any on Investment Advisory fees will be charged to scheme within the overall limit of expense as permitted under the SEBI Regulations.

Actual Expenses for the Previous Financial Year ended March 31, 2017 - ₹ 61,21,659.79 (0.99% p.a.)

## Waiver of Load for Direct Applications

Not Applicable

Pursuant to SEBI circular no. SEBI/IMD/CIR No.4/ 168230/09 dated June 30, 2009 no entry load shall be charged for all mutual fund schemes. Therefore, the procedure for waiver of load for direct applications is no longer applicable.

## Tax treatment for the Investors (Unitholders)

Investors are advised to refer to the details in the Scheme Information Document and Statement of Additional Information and also independently refer to his/her/their tax advisor.

## Daily Net Asset Value (NAV) Publication

NAV shall be calculated and disclosed for every Business Day. AMC shall update the NAV on the website of AMFI [www.amfiindia.com](http://www.amfiindia.com) by 9.00 p.m. on every Business Day and also on the Fund's website [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com). NAV of the Scheme shall be published at least in two daily newspapers every Business Day in accordance with SEBI (MF) Regulations, 1996.

Investors may obtain NAV information on any Business Day by calling the office of the AMC or any of the Investor Service Centres.

## For Investor Grievances please contact

Registrars & Transfer Agents

**Karvy Computershare Private Limited**

Unit: Quantum Mutual Fund, Karvy Selenium Tower B

Plot number 31 & 32 Financial District, Nanakramguda Serilingampally Mandal

Hyderabad - 500032

Phone: +91 – 040-23312454

Investor queries and complaints constitute an important voice of Investor, and to this effect the AMC has formulated a Grievance Redressal Policy (which can be viewed at [www.QuantumMF.com](http://www.QuantumMF.com)) which details the queries and complaint handling through a structured grievance redressal framework. Mr. Harshad Chetanwala – Head Customer Delight for any queries/clarifications and Ms. Meera Shetty – Investor Relation Officer for any complaint/grievance can be contacted at Quantum Asset Management Company Private Limited 505, Regent Chambers, 5th Floor, Nariman Point, Mumbai - 400021 email - [Customercare@QuantumAMC.com](mailto:Customercare@QuantumAMC.com), Telephone number - 1800 209 3863 / 1800 22 3863 (Toll Free), Fax number - 022 - 1800 22 3864 (Toll Free).

## 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 (if the mobile number is not registered under Do Not Call Registry) within 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.

As the units of the Schemes are in demat, investors would be provided with a statement of holding by his / her / their Depository Participants as per the rules of Depository. The statement issued by the Depository would be deemed to be adequate compliance with requirement of SEBI regarding dispatch of statement of account.

## Annual Report :

The AMC / Mutual Fund shall send 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:

(i) by e-mail to the investors / Unit holders whose e-mail address is available with the AMC / Fund.

(ii) 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 (AMFI).

## Portfolio Disclosures:

The Fund shall before the expiry of 1 month from the close of each half year, that is as on 31 March and 30 September, publish a complete statement of the scheme portfolio by way of an advertisement in one English daily newspaper circulating in the whole of India and in a newspaper published in the language of the region where the Head Office of the Fund is situated or send to the Unitholders a complete statement of Schemes portfolios and shall also update the same on the AMC's website at [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com) and on AMFI's website at [www.amfiindia.com](http://www.amfiindia.com), in the prescribed format before the expiry of one month from the close of each half year.

Further, the monthly portfolio of the scheme (along with ISIN) shall also be made available on the website of The Fund/ AMC [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com) on or before tenth day of the succeeding month in user - friendly and downloadable format.

## Half Yearly Results:

The Fund shall within one month from the close of each half year, (i.e. 31st March and on 30th September), host a soft copy of its unaudited financial results on its website ([www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.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.

**Dated: February 22, 2018**



# Quantum Nifty ETF

(An Open Ended Scheme Replicating / Tracking Nifty 50 Index)

## Investment Objective

The investment objective of the scheme is to invest in stocks of companies comprising Nifty 50 Index and endeavour to achieve returns equivalent to the Nifty by "passive" investment. The scheme will be managed by replicating the index in the same weightage as in the Nifty 50 Index with the intention of minimizing the performance differences between the scheme and the Nifty 50 Index in capital terms, subject to market liquidity, costs of trading, management expenses and other factors which may cause tracking error.

## Category of Scheme

Exchange Traded Fund

## Asset Allocation Pattern of the scheme

Types of Instruments	Indicative Allocation (% of Net Assets)		
	Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)	Risk Profile
Securities covered by the Nifty 50 Index	95	100	High
Money Market Instruments	0	5	Low

The above asset allocation is only indicative and may change from time to time, keeping in view the market conditions and applicable rules and regulations.

## Investment Strategy

The AMC uses a "passive" or indexing approach to try and achieve Scheme's Investment objective. Unlike other funds, the Scheme does not try to "beat" the markets they track and do not seek temporary defensive positions when markets decline or appear over valued. The AMC does not make any judgments about the investment merit of a particular stock or a particular industry segment nor will it attempt to apply any economic, financial or market analysis. Indexing eliminates active management risks with regard to over/ underperformance vis-a-vis a benchmark. The scheme would alter the scrips/weights as and when the same are altered in the Nifty 50 Index. As long as a Scheme invests at least 95% of its total assets in the stocks of its Underlying Index, it may also invest in other assets, in Money Market Instruments and CBLO.

## Risk Profile of the Scheme

Mutual Fund units involve investment risks including the possible loss of principal.

Please read the Scheme Information Document carefully for details on risk factors and other details before investment. Scheme specific Risks Factors are summarized below:

- Risk associated with investments in Equity, Debt and Money Market Instruments which involve Liquidity & Settlement Risks, Investment Risks, Interest Rate Risk, Credit Risk, Re-investment Risk, Risk Associated with Securitized Debt etc.
- The scheme is subject to passive investment risk and tracking error risk.

## Risk Management Strategies

Risk is an important part of the investment functions. Effective Risk Management is critical to Fund Management for achieving financial goals. Investments made by the Scheme shall be made in accordance with Investment Objective of the Scheme and provisions of SEBI (Mutual Funds) Regulations.

The Fund has identified following Risk and designed Risk Management Strategies which is the part of the Investment Process to manage such risks.

Type of Risks	Risk Management Strategies
Tracking Error Risk – Risk of deviating away from the investment objective of tracking Nifty 50 Index	The Fund follows a passive investment approach and invests as per the Nifty Index. The Fund does not try to beat the markets and do not seek temporary defensive positions when markets decline or appear over valued.
Liquidity Risk – High impact cost	At the time of rebalancing of the portfolio of the scheme in case required quantity of stocks are not available due to low volume in some stocks in such cases the quantity of stocks will be broken down across proportionally in all stocks comprises in Nifty 50 Index so that no stock will have more weightage than the required at such time.
Changes in composition: Addition / deletion of stocks in Nifty 50 Index	The rebalancing of stocks shall be done at the appropriate time so that tracking error can be minimized.
Changes in weightage of stock due to corporate action like merger, demerger or issue of QIP	The rebalancing of stocks shall be done at the appropriate time so that tracking error can be minimized.

## Plans and Option

Not Available

## Applicable NAV

### SUBSCRIPTION:

#### 1. Purchases for an amount of ₹ 2 lakh and above:

- In respect of valid application received upto 3.00 p.m. on a Business Day with RTGS/ NEFT / Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received /Cash Card/ Debit Card/ IMPS/ One Time Mandate NACH 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 ( 3.00 p.m.), 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 with RTGS/ NEFT / Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received/Cash Card/ Debit Card/ IMPS / One Time Mandate NACH and funds for the entire amount of subscription / purchase as per the application are credited to the bank account of the Scheme and available for utilization before the cut-off time (3.00 p.m.) of the next Business Day, the closing NAV of the next Business Day shall be applicable;
- However, irrespective of the time of receipt of application, where the funds are not available for utilisation 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, provided the application is received prior to availability of the funds.

#### 2. Purchases for amount of less than ₹ 2 lakh:

- Where the application is received upto 3.00 pm on a Business Day with RTGS/ NEFT / Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received /Cash Card/ Debit Card/ IMPS/ One Time Mandate NACH – closing NAV of the day of receipt of application shall be applicable;
- Where the application is received after 3.00 pm on a Business Day with RTGS/ NEFT / Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received/Cash Card/ Debit Card/ IMPS / One Time Mandate NACH - the closing NAV of the next Business Day shall be applicable; and
- Where the application is received with an outstation cheque or demand draft which is not payable on par at the place where it is received – the closing NAV of day on which the funds for the cheque or demand draft is credited to the account of Scheme shall be applicable.

### REDEMPTIONS:

In respect of valid applications received upto 3 p.m. on a Business Day - the closing NAV of the day of receipt of application, shall be applicable.

In respect of valid applications received after 3 p.m. on a Business Day - the closing NAV of the next Business Day shall be applicable.

However, as the Scheme is the Exchange Traded Scheme, the subscriptions and redemptions of units would be based on the Portfolio Deposit and Cash Component as defined by the Fund for that respective Business Day.

## Minimum Application Amount/ Number of Units

**Directly with Fund:** The investors can create / redeem in exchange of Portfolio Deposit and Cash Component in creation unit size at NAV based Price. – 2000 Units and in multiples thereof.

**On the Exchange:** At prices which may be close to the NAV of Q Nifty Units. On NSE, the units can be purchased / sold in minimum lot of 1 unit and in multiples thereof.

The units of Q Nifty issued under the scheme will be approximately equal to the price of 1/10 (one-tenth) of the Nifty 50 Index.

## Despatch of Repurchase (Redemption) Request

The Redemption / Repurchase proceeds shall be despatched / credited to the registered bank account of the investor within 10 Business Days from the date of receipt of valid redemption / repurchase request.

## Benchmark Index

Nifty 50 – Total Return Index.

## Dividend Policy

The Trustee may declare dividend subject to the availability of distributable surplus. It must be distinctly understood that the actual declaration of dividends under the Scheme and the frequency thereof will, inter-alia, depend upon the distributable surplus of the Scheme. There is no assurance or guarantee to Unitholders as to the rate of dividend distribution nor will that dividend be regularly paid. The dividend that may be paid out of the net surplus of the Scheme will be paid only to those Unitholders whose names appear in the register of Unitholders on the notified record date. Unitholders are entitled to receive dividend within 30 days of the date of declaration of the dividend. However, the Mutual Fund will endeavour to make dividend payments sooner to Unitholders. The Scheme will follow the requirements stipulated in the listing agreement for declaration of Dividend. On distribution of dividends, the NAV will stand reduced by the amount of dividend distributed and statutory levy, if any, at the close of business hours on record date. The Dividend payments shall be in accordance and compliance with SEBI and NSE Regulations, as applicable from time to time.

## Name of the Fund Manager & Tenure of Managing the Scheme

Mr. Hitendra Parekh : Managing since July 10, 2008 (9.7 years)

## Name of the Trustee Company

Quantum Trustee Company Private Limited

## Performance of the scheme (as at January 31, 2018)

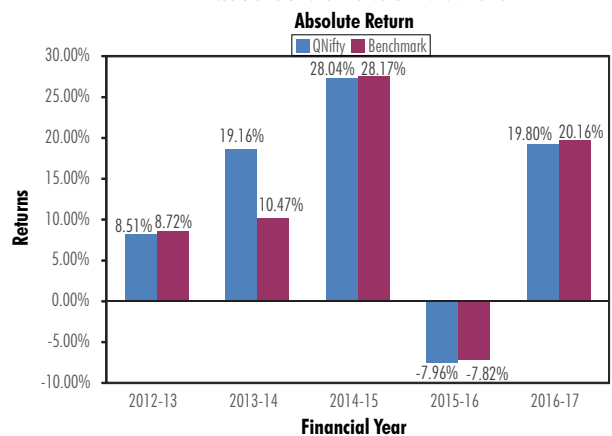
Period	Scheme Returns %	Benchmark Returns % (Nifty 50 – Total Return Index)
1 Year*	30.06	30.48
3 Years**	8.85	9.10
5 Years**	13.94	14.18
Since Inception**	12.05	12.03

Past performance may or may not be sustained in the future.

\* Annualized \*\* CAGR

Date of Inception: July 10, 2008.

### Absolute Returns for the last 5 Financial Years:



Past performance may or may not be sustained in future.

## SCHEME PORTFOLIO HOLDINGS AS ON JANUARY 31, 2018

(i) Top 10 Holdings by Issuer:

Issuer	% to NAV
HDFC Bank Limited	9.64
Reliance Industries Limited	7.79
Housing Development Finance Corporation Limited	7.35
ITC Limited	5.43
Infosys Limited	5.39
ICICI Bank Limited	5.32
Larsen & Toubro Limited	4.11
Tata Consultancy Services Limited	3.63
Kotak Mahindra Bank Limited	3.48
Maruti Suzuki India Limited	2.96
<b>Grand Total</b>	<b>55.10</b>

(ii) Fund Allocation Toward Various Sectors:

Sector Allocation	% to NAV
Banks	27.02
Software	12.02
Petroleum Products	10.40
Finance	9.34
Auto	9.34
Consumer Non Durables	8.93
Construction Project	4.11
Pharmaceuticals	3.78
Non - Ferrous Metals	2.37
Power	2.22
Cement	1.53
Telecom - Services	1.37
Oil	1.35
Ferrous Metals	1.16
Minerals/Mining	0.92
Transportation	0.77
Media & Entertainment	0.76
Gas	0.72
Telecom - Equipment & Accessories	0.64
Pesticides	0.64
Auto Ancillaries	0.39
Others	0.22
<b>Grand Total</b>	<b>100.00</b>

Note:

Others include CBLO and cash & cash equivalents

(iii) To obtain scheme's latest monthly portfolio please refer the following link

<https://www.quantumamc.com/schemeportfolio.aspx?SchemeID=0&FactSheetType=2>

## Portfolio Turnover Ratio for last one year

26.56%

## Expenses of the Scheme

### (i) Load Structure

Entry Load : Not Applicable

Upfront commission to distributors will be paid by the investor directly to the distributor, based on his assessment of various factors including the service rendered by the distributor.

**Quantum Mutual Fund does not charge Entry Load since inception.**

Exit Load : Nil

As per Regulation 52(6)(b) of SEBI (MF) Regulations, the total expenses of the Scheme, including investment and advisory fees shall not exceed 1.50% of the daily net assets of the scheme.

### (ii) Recurring expenses

The AMC has estimated that up to 0.75% of the daily net assets of the scheme will be charged to the scheme as expenses. For the current expenses being charged to the Scheme, the Investor should refer to the website of the mutual fund.

No additional expenses as per Regulation 52 (6A) (b) – for gross new inflow from specified cities will be charged to the Scheme. Goods and Services Tax and Statutory Levies if any on Investment Advisory fees will be charged to scheme within the overall limit of expense as permitted under the SEBI Regulations.

Actual expenses for the previous financial year ended March 31, 2017: ₹ 96,103.14 (0.25% p.a.)

## Waiver of Load for Direct Applications

Not Applicable

Pursuant to SEBI circular no. SEBI/IMD/CIR No.4/ 168230/09 dated June 30, 2009 no entry load shall be charged for all mutual fund schemes. Therefore, the procedure for waiver of load for direct applications is no longer applicable.

## Tax treatment for the Investors (Unitholders)

Investors are advised to refer to the details in the Scheme Information Document and Statement of Additional Information and also independently refer to his/her/their tax advisor.

## Daily Net Asset Value (NAV) Publication

NAV shall be calculated, declared and announced on all Business Days and uploaded on the AMFI website ([www.amfiindia.com](http://www.amfiindia.com)) by 9.00 p.m. the same will also be uploaded on the Fund's website [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com) on every Business Day and will also be published in two newspapers

Investors may obtain NAV information on any Business Day by calling the office of the AMC or any of the Investor Service Centres.

## For Investor Grievances please contact

Registrars & Transfer Agents

**Karvy Computershare Private Limited**

Unit: Quantum Mutual Fund, Karvy Selenium

Tower B Plot number 31 & 32 Financial District,

Nanakramguda Serilingampally Mandal

Hyderabad - 500032

Phone: +91 – 040-23312454

Investor queries and complaints constitute an important voice of Investor, and to this effect the AMC has formulated a Grievance Redressal Policy (which can be viewed at [www.QuantumMF.com](http://www.QuantumMF.com)) which details the queries and complaint handling through a structured grievance redressal framework.

Mr. Harshad Chetanwala – Head Customer Delight for any queries/clarifications and Ms. Meera Shetty – Investor Relation Officer for any complaint / grievance can be contacted at Quantum Asset Management Company Private Limited 505, Regent Chambers, 5th Floor, Nariman Point, Mumbai - 400021 email – [Customercare@QuantumAMC.com](mailto:Customercare@QuantumAMC.com).

Telephone number - 1800 209 3863 / 1800 22 3 863 (Toll Free),  
Fax number - 022 - 1800 22 3864 (Toll Free).

## 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 (if the mobile number is not registered under Do Not Call Registry) within 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.

As the units of the Schemes are in demat, investors would be provided with a statement of holding by his / her / their Depository Participants as per the rules of Depository. The statement issued by the Depository would be deemed to be adequate compliance with requirement of SEBI regarding dispatch of statement of account.

### Annual Report :

The AMC / Mutual Fund shall send 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:

(i) by e-mail to the investors / Unit holders whose e-mail address is available with the AMC / Fund.

(ii) 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 (AMFI).

### Portfolio Disclosures:

The Fund shall before the expiry of 1 month from the close of each half year, that is as on 31 March and 30 September, publish a complete statement of the scheme portfolio by way of an advertisement in one English daily newspaper circulating in the whole of India and in a newspaper published in the language of the region where the Head Office of the Fund is situated or send to the Unitholders a complete statement of Schemes portfolios and shall also update the same on the AMC's website at [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com) and on AMFI's website at [www.amfiindia.com](http://www.amfiindia.com), in the prescribed format before the expiry of one month from the close of each half year.

Further, the monthly portfolio of the scheme (along with ISIN) shall also be made available on the website of The Fund/ AMC [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com) on or before tenth day of the succeeding month in user - friendly and downloadable format.

### Half Yearly Results:

The Fund shall within one month from the close of each half year, (i.e. 31st March and on 30th September), host a soft copy of its unaudited financial results on its website ([www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.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.

**Dated: February 22, 2018**

## COMPARISON CHART

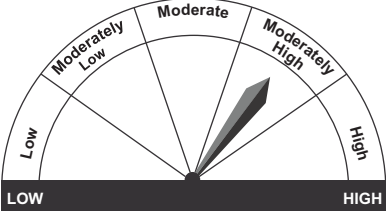
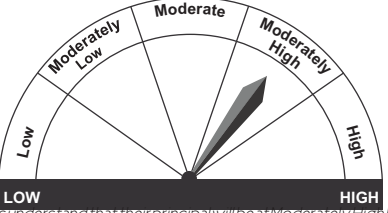
Name of the Scheme	Asset Allocation Pattern				Primary Investment Pattern	Differentiation	AUM ₹ in Crore (As on January 31, 2018)	No. of Folios (As on January 31, 2018)
Quantum Long Term Equity Fund	<b>Type of Instruments</b>	<b>Normal allocation (% of Net Assets)</b>	<b>Minimum allocation (% of Net Assets)</b>	<b>Maximum allocation (% of Net Assets)</b>	To invest in shares of companies included in BSE-200 Index.	An Open-ended Equity Scheme following a value investment strategy	892.74	33,149
	Listed Equity & Equity Related Securities of Companies	95% to 99%	65%	99%				
	Unlisted Equity & Equity Related Securities of Companies	0% to 3%	0%	5%				
	Money Market Instruments	1% to 5%	1%	35%				
	Liquid Schemes of Mutual Funds	0% to 5%	0%	5%				
Quantum Liquid Fund	<b>Type of Instruments</b>	<b>Normal Allocation (% of Net Assets)</b>			To invest in Debt & Money Market Instruments.	Open ended Liquid Scheme	127.80	3,083
	Money Market Instruments and other short term debt instruments having maximum re-pricing tenor of not more than 91 days in maturity	100%						
Quantum Gold Fund	<b>Type of instruments</b>	<b>Normal Allocation (% of Net Assets)</b>			To invest in Physical Gold.	An Open Ended Scheme Replicating / Tracking Gold	56.17	9,178
		<b>Minimum Allocation (% of Net Assets)</b>	<b>Maximum Allocation (% of Net Assets)</b>					
	Physical Gold	95%	100%					
	Money Market instruments	0%	5%					
Quantum Nifty ETF	<b>Type of instruments</b>	<b>Normal Allocation (% of Net Assets)</b>			To invest in stocks of companies comprising Nifty 50 Index.	An open ended Scheme Replicating / Tracking Nifty 50 Index	4.43	338
		<b>Minimum Allocation (% of Net Assets)</b>		<b>Maximum Allocation (% of Net Assets)</b>				
	Securities covered by the Nifty 50 Index	95%		100%				
	Money Market Instruments	0%		5%				
Quantum Tax Saving Fund	<b>Type of instruments</b>	<b>Normal Allocation (% of Net Assets)</b>			To invest in shares of companies included in BSE-200 Index.	An Open-ended Equity Linked Saving Scheme with a statutory lock in of 3 years and tax benefit.	70.53	7,928
		<b>Minimum Allocation (% of Net Assets)</b>	<b>Maximum Allocation (% of Net Assets)</b>					
	Equity and Equity-related Securities	80%	100%					
	Debt and Money Market Instruments	0%	20%					
Quantum Equity Fund of Funds	<b>Type of instruments</b>	<b>Normal Allocation (% of Net Assets)</b>			To invest in a portfolio of open-ended diversified equity schemes of mutual funds registered with SEBI.	An Open Ended Fund of Funds Scheme investing in Open Ended Diversified Equity Schemes of Mutual Funds	18.40	2,107
		<b>Minimum Allocation (% of Net Assets)</b>	<b>Maximum Allocation (% of Net Assets)</b>					
	Open-ended diversified equity schemes of mutual funds registered with SEBI.	95%	100%					
	Money Market Instruments and Liquid Schemes of Mutual Funds	0%	5%					
Quantum Gold Savings Fund	<b>Type of instruments</b>	<b>Normal Allocation (% of Net Assets)</b>			To invest in the units of Quantum Gold Fund ETF	An Open ended Fund of Fund Scheme investing in Quantum Gold Fund.	14.28	1,718
		<b>Minimum Allocation (% of Net Assets)</b>	<b>Maximum Allocation (% of Net Assets)</b>					
	Units of Quantum Gold Fund ETF	95%	100%					
	Money Market instruments, Short-term Corporate debt securities, CBLO and units of Debt and Liquid Schemes of Mutual Funds	0%	10%					
Quantum Multi Asset Fund	<b>Type of instruments</b>	<b>Normal Allocation (% of Net Assets)</b>			To invest in the units of Equity, Debt/ Money Markets and Gold schemes of Quantum Mutual Fund	An Open-ended Fund of Funds Scheme investing in schemes of Quantum Mutual Fund	14.81	781
		<b>Minimum Allocation (% of Net Assets)</b>	<b>Maximum Allocation (% of Net Assets)</b>					
	Units of Equity Schemes	25%	65%					
	Units of Debt / Money Market Schemes	25%	65%					
	Units of Gold Scheme	10%	20%					
	Money Market instruments, Short-term Corporate debt securities, CBLO	0%	10%					
Quantum Dynamic Bond Fund	<b>Type of instruments</b>	<b>Normal Allocation (% of Net Assets)</b>			to generate income and capital appreciation through active management of portfolio consisting of short term and long term debt and money market instrument.	An Open-ended Dynamic Debt Scheme Investing Across Duration.	80.31	2,034
		<b>Minimum Allocation (% of Net Assets)</b>	<b>Maximum Allocation (% of Net Assets)</b>					
	Government Bond / Bill	25%	100%					
	PSU Bond	0%	50%					
	Certificate of Deposits/ Commercial Paper/ Short Term Debt Instrument	0%	75%					
	CBLO / Repos	0%	100%					

Dated: February 22, 2018



# INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM

## 1 PRODUCT LABEL

Name of the Scheme	This product is suitable for investors who are seeking*	Riskometer
<b>Quantum Gold Fund</b> (An Open Ended Scheme Replicating / Tracking Gold)	<ul style="list-style-type: none"> <li>Long term returns</li> <li>Investments in physical gold.</li> </ul>	 <p style="text-align: center;"><i>Investors understand that their principal will bear Moderately High Risk</i></p>
<b>Quantum Nifty ETF</b> (An Open Ended Scheme Replicating / Tracking Nifty 50 Index)	<ul style="list-style-type: none"> <li>Long term capital appreciation</li> <li>Investments in equity and equity related securities of companies in Nifty 50 Index.</li> </ul>	 <p style="text-align: center;"><i>Investors understand that their principal will bear Moderately High Risk</i></p>

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

## 2 GENERAL INSTRUCTIONS

- 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.
- Please Tick (✓) in the appropriate box (☐), where boxes have been provided.
- 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 strike out any section that is not applicable. Correction/Cancellation on any of the information should be countersigned by the investor.
- 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.
- 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 along with 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 Quantum AMC Mumbai Branch: 505, Regent Chambers, 5<sup>th</sup> Floor, Nariman Point, Mumbai - 400 021, quoting the serial number of application simultaneously with the submission of the Application Form, failing which the application is liable to be rejected.
- All communications and payments will be made to the sole/first applicant or to the Karta in case of HUF.
- While processing the redemption/switch out request in case Quantum AMC come across a signature mismatch, then Quantum AMC 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.

## 3 APPLICANT INFORMATION

- Name should be given in full without any abbreviations. Preferably write exactly as it appears in your Demat Account or as it appears in the incorporation document as the case may be.
- 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.
- 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.
- 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.
- Quantum AMC Mumbai Branch: 505, Regent Chambers, 5<sup>th</sup> Floor, Nariman Point, Mumbai - 400 021 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.
- Please fill in all the fields to prevent rejection of your Application Form. The application complete in all respects along with the Portfolio Deposit/ Basket, cheque, fund transfer instructions must be submitted to the Quantum AMC Mumbai Branch: 505, Regent Chambers, 5<sup>th</sup> Floor, Nariman Point, Mumbai - 400 021. Applications which are incomplete, invalid in any respect or not accompanied by Portfolio Deposit/ Basket, cheque or fund transfer instructions for the amount payable are liable to be rejected.
- Investors must write the Application Form number on the reverse of the cheques accompanying the Application Form.
- 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.
- Some additional details are required for validating your identity for certain transactions / Communications. Hence please fill annual income, the mobile number, email id in case of all applicants and date of birth of all unit holders.
- 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.
- In the event the application has more than one investor and the mode of holding is also specified in the application form, the default option for holding would be considered as per mode of holding as stated in the demat account. However, in all such cases, communications, proceeds of all dividend/redemption will be paid to the first named holder.
- 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.
- 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:
  - Birth certificate of the minor, or
  - School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or
  - Passport of the minor, or
  - Any other suitable proof evidencing the date of birth of the minor
- Guardian on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian.

## 4 POWER OF ATTORNEY

Investment through constituted Attorney should necessarily be signed by the constituted Power of Attorney holder.

## 5 EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIIN)

Investor investing through distributor shall mention EUIIN on the application form, if he/she has been advised by Sales person/ Employee/ Relationship manager of the distributor. If left blank, AMC will assume the following declaration by investor "I/We hereby confirm that the EUIIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/ relationship manager/ sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/ relationship manager/ sales person of the distributor and the distributor has not charged any advisory fees on this transaction." SEBI has made it mandatory to obtain EUIIN no. for every employee/ relationship manager/ sales person of the distributor for selling mutual fund products. Please read the declaration. EUIIN will assist in tackling the problem of mis-selling even if the employee/relationship manager/sales person leaves the employment of the ARN holder / sub broker.

## 6 ELECTRONIC/ TELECOMMUNICATION FACILITY

Documents would be sent directly by the Depository Participant on the email id etc. available in their records. 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 as per DP records. In case a unitholder desires to receive physical copy of the same, a written request to this effect needs to be submitted.

## 7 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.  
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 /DIVIDEND:** Investors are requested to provide the following details along with the mandatory requirement of bank account details (bank, branch address, account type and account no.) in the application form for electronic fund transfer (EFT) of dividend / 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 dividend payouts via the various electronic mode 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 to 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.

**8 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 Cheque/DD payable locally in the city where the application form is submitted at Quantum AMC Mumbai Branch: 505, Regent Chambers, 5<sup>th</sup> Floor, Nariman Point, Mumbai - 400 021 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.
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. 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.
9. 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.

**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)/Non-Resident (Special) Rupee Account (NRSR). Please indicate by ticking the relevant account from which payment is being made.

10. Payment through electronic mode RTGS/NEFT:
  - i. For purchase through RTGS/NEFT, the investor needs to first complete the fund transfer formalities with the Bank.  
Please note the Quantum Mutual Fund account details for the RTGS/NEFT: Bank Name:  
HDFC Bank, Bank A/C No: 00602090002325, Bank Account Name: Quantum MF EPI A/C, Bank branch: Maneckji Wadia Building, Ground Floor, Nanik Motwani Marg, Fort, Mumbai-400023, IFSC Code: HDFC0000060, Account Type: Current Account
  - ii. After completing the fund transfer through NEFT/RTGS mode, the investor needs to mention the payment reference number under the section 'Payment Details' in the main application form.
  - iii. Enclose the fund transfer proof along with the application form.
11. Payment through electronic mode IMPS (Interbank Mobile Payment Solution):
  - i. Investor having an account with any of the banks participating in National Payments Corporation of India (NPCI) for payment through Interbank Mobile Payment Solution (IMPS) facility should register for IMPS service with their respective Bank as per the procedure laid down by each bank.
  - ii. Initiate the transaction using the IMPS process and the following details of Quantum Mutual Fund:  
Bank Name: Yes Bank, Bank A/C No: 000485700000293, Bank Account Name: Quantum Mutual Fund Collection A/c, Mobile Number - 9243223863, MMID - 9532968.
  - iii. After completing the fund transfer through IMPS mode, the investor needs to mention the payment reference number under the section 'Payment Details' in the main application form.
12. Please register additional banks through which you want to invest by filling and submitting Multiple Bank Mandate along with supporting documents.

**9 DEMAT ACCOUNT**

Units will be issued in demat mode only. Please submit Client Master copy or any documents specifying the name and demat account no. details as a proof of demat account details furnished in the application form.

Investors/unitholders have to ensure that the bank account through which the investment is being done matches with the bank account details in the demat account. Allotment of Units will be in demat mode and the bank mandate, contact details, nominee details etc. will be as per the details stated in the demat account.

A demat statement will be sent by Depository Participant to the Unit holders in accordance with the bylaws of the depository which will contain the details of transaction of Units.

**10 NOMINATION**

Since the Units of the Scheme will be issued in electronic (demat) mode, Nomination details provided to the DP shall be applicable.

**11 KNOW YOUR CUSTOMER (KYC) COMPLIANCE**

As the Units will be issued 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 the event of non compliance of KYC requirements, the Trustee/AMC reserves the right to freeze the folio of the investor(s) and effect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any. For further details, please refer Section 'Know Your Customer (KYC) Compliance under Statement of Additional Information of the Fund.

**12 PERMANENT ACCOUNT NUMBER (PAN)**

Permanent Account Number (PAN) issued by the Income Tax Authorities has been made mandatory by SEBI for all the applications received in the Scheme, irrespective of the amount of transaction (except MICRO SIP 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. Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission; 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. Please refer section PAN under SAI of Quantum Mutual Fund available on the website.



**1 MINIMUM APPLICATION AMOUNT / NO OF UNITS**

The investors can create / redeem in exchange of Portfolio Deposit or Cash and Cash Component in Creation Unit Size at NAV based Price. Presently one Creation Unit Size is equal to 2000 QGF units and in multiples thereof.

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".

**2 PORTFOLIO DEPOSIT**

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.

**3 CASH COMPONENT**

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.

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.

The AMC discloses the Portfolio Deposit and Cash Component on daily basis on the website i.e. [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com) for creating and redeeming units in Creation Unit Size for QGF.

**4 PROCEDURE FOR CREATING QGF UNITS IN CREATION UNIT SIZE – PORTFOLIO DEPOSIT**

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.

The investors need to furnish a Cheque towards payment of Cash Component or credit the Cash Component to the collection account of the Fund.

**5 GOOD / BAD DELIVERY OF GOLD**

- 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.
- ii. Bars are received from a refiner accredited to London Bullion Market Association (LBMA).
- iii. Details in Assay Certificate matches with the details on the bar with regard to fineness, bar number, refiner etc.
- iv. Assay certificate is duly signed by the signatory with the refiners logo printed on it.
- v. The Box number / Bar number should match with the Box number / Bar number listing.
- 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. Certified Vault agents would be Brinks Arya Pvt. Ltd.
- 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.

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. 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.

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.

**6 DELIVERY OF GOLD**

All deliveries, in case of subscription, shall be in Mumbai only. In case of redemption, 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)**

Center 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 / Authorised Participants / Large Investors 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 / Authorised Participants / Large Investors 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 / Authorised Participants / Large Investors 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 / Authorised Participants / Large Investors within 3 Business Days of the receipt of request for redemption. The Eligible Investors / Authorised Participants / Large Investors 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 / Authorised Participants / Large Investors.

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

**10 LIQUIDITY WINDOW**

The days on which the Mutual Fund will issue or repurchase units directly from Investors, as may be decided by the Mutual Fund, at its discretion from time to time during the continuous offer.

Presently, the Liquidity Window for direct subscription is open on all Business Days only for Authorised Participation / Eligible Investors / Large Investors; the Fund may in its own discretion and in the interest of the retail investors, open the Liquidity Window for such period as it may decide from time to time to allow liquidity to investors.

**1 MINIMUM APPLICATION AMOUNT / NO. OF UNITS**

The investors can create/ redeem in exchange of Portfolio Deposit or Cash and Cash Component in Creation Unit size at NAV based Price - Presently One creation unit is equal to 2000 Units and in multiples thereof.

The units of QIF issued under the scheme will be approximately equal to the price of 1/10 (one-tenth) of the S&P CNX Nifty Index.

Creation Unit Size is a fixed number of units, which is exchanged for a basket of shares underlying the Benchmark Index, called the "Portfolio Deposit" and a "Cash Component"

**2 PORTFOLIO DEPOSIT**

This is a pre-defined basket of securities that represent the underlying index and will be defined and announced by the fund on daily basis and can change from time to time.

**3 CASH COMPONENT**

Cash Component represents the difference between the applicable net asset value of a creation unit and the market value of Portfolio deposit. This difference will represent accrued dividends, accrued annual charges including management fees and residual cash in the Scheme. In addition the Cash Component will also include transaction cost as charged by the Custodian/ DP, equalization of dividend and other incidental expenses for Creating/ Redeeming of Units. The Cash Component will vary from time to time and will be decided and announced by the AMC.

The Portfolio Deposit and Cash Component for QIF Units may change from time to time due to changes in the underlying Index on account of corporate actions and changes to the index constituents.

The AMC discloses the Portfolio Deposit and Cash Component on daily basis on the website i.e. [www.QuantumAMC.com/](http://www.QuantumAMC.com/) / [www.QuantumMF.com](http://www.QuantumMF.com) for creating and redeeming units in Creation Unit Size for QIF.

**4 PROCEDURE FOR CREATING QIF UNITS IN CREATION UNIT SIZE - PORTFOLIO DEPOSIT**

The requisite securities constituting the Portfolio Deposit have to be transferred to the Fund's DP account while the Cash Component has to be paid to the Custodian/AMC. On confirmation of the same by the Custodian/AMC, the AMC will transfer the respective number of QIF Units into the investor's DP account. The AMC may create "Creation Unit" prior to receipt of all or a portion of the relevant Portfolio Deposit and Cash Component in certain circumstances as determined by the AMC including where the purchaser, among other things, posts collateral to secure its obligation to deliver such outstanding Portfolio Deposit Securities and Cash Component.

Demat Account to be used for Creating QIF units in Creation Unit Size – Portfolio Deposit:

Depository Name	Deutsche Bank AG
DP ID (NSDL)	IN300167
Client ID	10047325
Name of the Account	Quantum Nifty ETF

The investors need to furnish a Cheque towards payment of Cash Component or credit the Cash Component to the collection account of the Fund.

Beneficiary Account name	Quantum Nifty ETF – Collection Account
Bank Name	HDFC BANK LTD
Beneficiary Account No	00600350108159
Branch Address	FORT - NANIK MOTWANI MARG
IFSC code	HDFC0000060

**5 PROCEDURE FOR REDEEMING QIF UNITS IN CREATION UNIT SIZE – PORTFOLIO DEPOSIT**

The requisite number of QIF units equaling the Creation Unit have to be transferred to the Fund's DP account while the Cash Component has to be paid to the Custodian/AMC. On confirmation of the same by the Custodian/AMC, the AMC will transfer the Portfolio Deposit into the investor's DP account and pay the Cash Component, if applicable. The AMC may redeem "Creation Unit" prior to receipt of all or a portion of the relevant Portfolio Deposit and Cash Component in certain circumstances as determined by the AMC including where the seller, among other things, posts collateral to secure its obligation to deliver such outstanding Portfolio Deposit Securities and Cash Component.

Demat Account to be used for redeeming QIF units in Creation Unit Size – Portfolio Deposit:

Depository Name	Deutsche Bank AG
DP ID (CDSL)	16013900
Client ID	00009221
Name of the account	Quantum Nifty ETF

**6 PROCEDURE FOR CREATING QIF UNITS IN CREATION OF 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 QIF has a collection account. The AMC will arrange to buy the underlying portfolio of securities on behalf of the Eligible Investors / Authorised Participants / Large Investors on receipt of the subscription application along with the subscription amount. The underlying portfolio of securities shall be purchased within 3 Business Days on the receipt of the subscription amount. The Eligible Investors / Authorised Participants / Large Investors need to incur all the actual costs of purchase of the underlying portfolio of securities and funding of market movement from the time of application to actual buying of underlying portfolio of securities 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 / Authorised Participants / Large Investors on allotment of units.

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

Beneficiary Account name	Quantum Nifty ETF – Collection Account
Bank Name	HDFC BANK LTD
Beneficiary Account No	00600350108159
Branch Address	FORT - NANIK MOTWANI MARG
IFSC code	HDFC0000060

**7 PROCEDURE FOR REDEEMING QIF UNITS IN CREATION OF UNIT SIZE – CASH REDEMPTION**

The requisite QIF 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 the basket of securities on behalf of the Eligible Investors / Authorised Participants / Large Investors within 3 Business Days of the receipt of request for redemption. The Eligible Investors / Authorised Participants / Large Investors need to incur all the actual costs in connection with the sale of basket of securities market movement from the time of application to actual selling of underlying portfolio of securities 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 basket of securities, after adjusting necessary charges / cost will be remitted to the Eligible Investors / Authorised Participants / Large Investors.

Demat Account to be used for Redeeming QIF units in Creation Unit Size- Cash Redemption

Depository Name	Deutsche Bank AG
DP ID (CDSL)	16013900
Client ID	00009221
Name of the account	Quantum Nifty ETF

**8 SECURITIES IN NO DELIVERY PERIOD IN NSE**

In case certain securities which form part of the Portfolio Deposit (transferred by the applicant) are in NO Delivery Period in NSE at the time of creation of units, the applicant will deliver the securities to the fund and fund will repay the corporate benefit if any received by it on such securities to the applicant, on receipt of the same from the company. At the time of redemption of units by an applicant if certain securities that form part of the Portfolio Deposit to be transferred by the Fund to the applicant is in NO delivery period, the fund will transfer said securities to the applicant after the record date.



**6 \* BANK ACCOUNT DETAILS (Refer Instruction No. 7)**

A/c Type (please ✓)	SB	Current	NRO	NRE	FCNR
Account No					
Bank Name					
Branch					
Branch Address					
City				Pin	
IFSC Code					MCR Code

Preferred mode of payment Electronic Credit. RTGS/NEFT code will help us transfer the amount to your bank account quicker, electronically.  
Please provide Bank A/c details linked with the demat account. In case of difference, bank details will be considered as per depository records.

NO-PAYEE	PAY	QUANTUM MUTUAL FUND PAN XXXXXXXX	OF BEARER
RUPEES		₹	
11 DIGIT IFSC Code	9 DIGIT MICR Code		
IFSC 01MF654321	"4153872" 265291538	123456"	23

**7 \* INVESTMENT DETAILS (Please ✓) (Refer Scheme Specific Instructions)**

Quantum Gold Fund		Quantum Nifty ETF	
Portfolio Deposit^ <input type="checkbox"/>	Cash Subscription^ <input type="checkbox"/>	Portfolio Deposit^ <input type="checkbox"/>	Cash Subscription^ <input type="checkbox"/>
No. of units (in Figures): _____	(in Words): _____	No. of units (in Figures): _____	(in Words): _____
Gold Deposited / To be Deposited (kgs): _____		Delivery Instruction Copy Submitted	
Shipper: _____	(*Refer Scheme Specific Instructions point No. 4 & 8)	<input type="checkbox"/> Yes	<input type="checkbox"/> Not Applicable
			(*Refer Scheme Specific Instructions point No. 4 & 6)

**8 PAYMENT DETAILS (Refer Instruction No. 8)**

Mode of Payment	<input type="checkbox"/> Direct Credit	<input type="checkbox"/> RTGS / NEFT	<input type="checkbox"/> Transfer Cheque	<input type="checkbox"/> Fund transfer	<input type="checkbox"/> IMPS
RTGS/ NEFT/IMPS Ref. No. & Date:					Date DDMMYYYY
Cheque No. & Date:					Date DDMMYYYY
Total Amt (₹)					
Bank /Branch & City					
Account Type	<input type="checkbox"/> SB	<input type="checkbox"/> Current	<input type="checkbox"/> NRO	<input type="checkbox"/> NRE	<input type="checkbox"/> FCNR

**9 SWITCH DETAILS To Quantum Gold Fund (Only during liquidity window period)**

All Units : <input type="checkbox"/>	Partial Units: <input type="checkbox"/>	
From Scheme :		
<input type="checkbox"/> Quantum Long Term Equity Fund	<input type="checkbox"/> Quantum Tax Saving Fund	<input type="checkbox"/> Quantum Liquid Fund
<input type="checkbox"/> Quantum Equity Fund of Funds		<input type="checkbox"/> Growth Option
<input type="checkbox"/> Growth Option	<input type="checkbox"/> Dividend Option	<input type="checkbox"/> Daily Dividend Reinvestment Option
<input type="checkbox"/> Dividend Reinvestment Facility	<input type="checkbox"/> Dividend Payout Facility	<input type="checkbox"/> Monthly Dividend Payout Option
		<input type="checkbox"/> Quantum Gold Savings Fund - Growth Option
		<input type="checkbox"/> Quantum Multi Asset Fund - Growth Option

**10 REDEMPTION DETAILS (Please ✓)**

Quantum Gold Fund		Quantum Nifty ETF	
Portfolio Deposit^ <input type="checkbox"/>	Cash Redemption^ <input type="checkbox"/>	Portfolio Deposit^ <input type="checkbox"/>	Cash Redemption^ <input type="checkbox"/>
Delivery Instruction Copy Submitted: <input type="checkbox"/> Yes	(*Refer Scheme Specific Instructions point No. 7 & 9)	Delivery Instruction Copy Submitted: <input type="checkbox"/> Yes	(*Refer Scheme Specific Instructions point No. 5 & 7)
No. of units (in figure) _____	No. of units (in words) _____		

**11 NOMINATION**

Since the Units of the Scheme will be issued in electronic (demat) mode, Nomination details provided to the DP shall be applicable.

**12 DEMAT ACCOUNT DETAILS (Please ✓) (Please refer instruction no. 9)**

<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL	(Switch not allowed. Redemption Stock Exchange Platforms / Depository Participants only)
I would like to be allotted units in DEMAT mode. <input type="checkbox"/> Yes <input type="checkbox"/> No (Please ✓) (Non-ticking of this box would result in allotment of units in physical form). Please ensure that the name of the investor in the application form matches with the account held with the depository participant.		
NSDL / CDSL	I / N	BENEFICIARY Account No. (NSDL Only)
Enclose for Demat Option: <input type="checkbox"/> Client Master List <input type="checkbox"/> Transaction / Holding Statement <input type="checkbox"/> DS Copy		

**13 DOCUMENT ENCLOSED (Please ✓)**

<input type="checkbox"/> Memorandum & Articles of Association	<input type="checkbox"/> Trust Deed	<input type="checkbox"/> Declaration of Beneficial Ownership	<input type="checkbox"/> Bye-laws	<input type="checkbox"/> Partnership Deed	<input type="checkbox"/> Overseas Auditor Certificate	<input type="checkbox"/> Notarised POA
<input type="checkbox"/> Copy of PAN Card	<input type="checkbox"/> KYC Compliance	<input type="checkbox"/> PIO Card	<input type="checkbox"/> Foreign Inward Remittance Certificate	<input type="checkbox"/> Trigger Form	<input type="checkbox"/> Minor related documents	<input type="checkbox"/> Proof of Address

**14 SOURCE OF INFORMATION**

How did you come to know about Quantum Mutual Fund?  Advertisement  Friend/Relative  Sales Team  IFA / Intermediary

**15 PHYSICAL COPY OF ANNUAL REPORT**

Opt In to receive the physical copy of Annual Report

**Investor Awareness:** Please ✓ to acknowledge that you have been explained the following aspects of investing by Quantum Mutual Fund and / or its representative(s) / intermediary(s) and hereby confirm having understood the same before investing with Quantum Mutual Fund.

- Name of the Invested Scheme(s): \_\_\_\_\_
- I/We have asked, and have been explained to my/our satisfaction all the features of the scheme(s) that I/We have chosen to invest in and have understood all the Terms and Conditions of the said scheme(s).
  - I/We confirm that I/We have fully understood the Expense Ratios and Exit Loads pertaining to the scheme(s) and that exit loads will be calculated as per First in First out (FIFO) basis.
  - I/We confirm that I/We have fully understood Transaction norms such as cut off time for subscription / redemption/switch, Turnaround Times for processing of transactions etc.
  - I/We am/are aware of the Tax implications of my/our investment pertaining to the schemes of Quantum Mutual Fund.
  - I/We am/are also aware that investing in Mutual Fund schemes come with an inherent risk which I/We recognize, and I / We have not been paid any incentive or have not been promised any assured returns while investing in this scheme(s). I/We also recognize the product label (color code), denoting the risk for the said scheme(s).
  - I/We am/are aware of my own risk appetite, my/our time horizon for investment, my/our objective for investment and the investment objective of the scheme(s) and the fit between the two at the time of undertaking the investment(s). I/We confirm that the Scheme(s) in which I/we am/are investing is appropriate for me / us keeping in mind the investment objective and risk of the scheme(s).
  - I/We am/are also aware of the Grievance Redressal and Dispute Resolution policies and procedure at Quantum Mutual Fund and am/are aware of whom to contact in case of any discrepancies.
  - I/We hereby declare that I/We have understood the nature of questions in the Application Form and the importance of disclosing all the material information required. I/We declare the facts disclosed in the application and the acknowledgement forms are true and correct to the best of my/our knowledge.

TO COMPLETE THE FORM, PLEASE SIGN IN THE APPROPRIATE BOX AT THE BOTTOM OF THE FOLLOWING PAGE.

**Contact Us**



**WEBSITE**

www.QuantumMF.com



**TOLL FREE HELPLINE**

1800 22 3863 / 1800 209 3863



**EMAIL**

CustomerCare@QuantumAMC.com



**SMS**

<Quantum> to 9243 22 3863



**DECLARATION:** I/We have read and understood the terms & contents of the Scheme Information Document(s) of the respective scheme(s) and Statement of Additional Information and Addenda of Quantum Mutual Fund thereto. I/We hereby apply to the Trustee of Quantum Mutual Fund for purchase/allotment of 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 authorized to invest the amount & that the amount invested by me/us in the above mentioned scheme is derived through legitimate sources and legally belong to me/us and not of any third party 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 in India or of the country where I/we for the time being reside 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 and Quantum AMC/Trustee/Fund would not be responsible if the investment is ultra vires thereto and the investment is contrary to the relevant constitutional documents. I/We agree that in case my/our investment in the Scheme is equal to or more than 25% of the corpus of the scheme, then Quantum Asset Management Ltd, Investment Manager to the Quantum Mutual Fund has full right to refund the excess to me/us to bring my/our investment below 25%. I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making this investments. I/We hereby authorize Quantum Mutual Fund, its Investment Manager and its agents to disclose details of my investment to my bank(s) / Quantum Mutual Fund's bank(s) or to any authority / agency, statutory or otherwise. I/We authorize this Fund to reject the application, revert the units credited/redeem units created at applicable NAV (less exit load, if any), restrain me/us from making any further investment in any of the schemes of the fund, recover/debit my/our folio(s) with the penal interest and take any appropriate action against me/us in case the cheque(s)/ payment instrument is/are returned by my/our banker for any reason whatsoever. I/We undertake that these investments are my/our own and acknowledge that Quantum AMC reserves the right to call for such other additional information/ documents as required to comply with KYC norms. I/We understand that and further authorize Quantum AMC, Quantum Mutual Fund to source my data / documents / information specimen signature from third party / KRA and Quantum Mutual Fund, Quantum AMC has the right to use the same / specimen signature for validation to process any future transactions that are submitted by me / us; besides Quantum Mutual Fund / Quantum AMC can further insist on seeking verification of my signature by my / our default bank. I/We hereby, further agree that the Fund can directly credit all the dividend payouts and redemption amount to my bank details given above. I/We hereby declare that the particulars above are correct. I/We further agree not to hold Quantum Mutual Fund liable for any consequences in case of any of the above particulars being false, incorrect or incomplete. I/We hereby undertake to promptly inform Quantum Mutual Fund of any changes to the information provided hereinabove and agree and accept that Quantum Mutual Fund, their authorized agents and representatives are not liable or responsible for any loss, costs, damages arising out of any actions undertaken or activities performed by them on the basis of information provided by me/us as also due to not intimating/delay in intimating such changes. I/We hereby authorize Quantum Mutual Fund to disclose, share, remit in any form, mode or manner, directly to them or indirectly through any entity, the information provided by me to any Regulatory Authority (ies) including Financial Intelligence Unit, India (FIU-IND) including all changes, updates to such information as and when provided by me without any obligation of advising me/us of the same. I/We hereby authorize Quantum AMC to verify/validate with my / our Bankers or with any entity/source, the bank account details provided by me/us in the initial /additional subscription as well as any subsequent multiple bank mandate registrations submitted by me/us while investing in Schemes of Quantum Mutual Fund. I/We have read the contents of the SAI, SID, KIM, which is for informational purposes only and does not have any regard to my / our specific investment objectives, financial situation or my / our particular needs. I/We have understood that the past performance of any fund or manager/ sub-manager of the fund are not necessarily indicative of future performance. Opinions and any other contents which are provided by Quantum Mutual Fund are for personal use and informational purposes only and are subject to change without notice. I/We hereby confirm that nothing contained in the SAI, SID, KIM or website constitutes investment, legal, tax or other advice nor is it to be relied on while making an investment or other decision. I/We hereby confirm that descriptions or questions answered by me/us in the questionnaire which is used to understand my profile are fair, clear and not misleading. I/We also confirm that all investments made by me either on my own and / or on the advice of the relationship manager are after evaluating my/our investment objective and analyzing my/our risk profile and have been explained all the features of the scheme(s) to my/our satisfaction. I/We have understood the nature and risk of the products selected for my/our investments based on my investment objective/s and financial situation as provided by me/us. I/We hereby confirm that purchase of units of any particular scheme either independently and / or if and whenever a recommendation is given to me/us to purchase a particular scheme, it is based upon a reasonable assessment i.e. whether the structure and risk reward profile of the scheme is consistent with my experience, knowledge, investment objectives, risk appetite, time horizon for investment and capacity for absorbing loss. I/We hereby confirm that I have independently understood either on my own and / or through the AMC's relationship manager (if any) assigned to me/us who has disclosed all material information about the business, fund's history, the terms and conditions on which advisory services are offered (if any), affiliations with other intermediaries, any actual or potential conflicts of interest arising from any connection to or association with any issue of products/ securities, including any material information or facts that might compromise its objectivity or independence in carrying out of investment advisory services, key features of the products or securities, particularly, performance track record, transaction norms such as cut off time for subscription / redemption, TAT for redemption, activation of SIP/STP/SWP, NAV applicability, the expense ratio of the scheme(s), the exit load structure of each scheme as well as the exit load that will be charged and calculated on FIFO basis and such other information as is necessary so as to take a decision on investing and the services that will be provided in future. I/We am aware about the product label (color code), warnings, disclaimers in documents, advertising materials relating to an investment product which is/are recommended to me/us and Tax implications of my/our investment pertaining to the schemes of Quantum Mutual Fund as explained to me/us by my relationship manager. I/ We also confirm that the Scheme in which I / we have invested is appropriate for me / us keeping in mind my investment objective and my risk appetite and the investment objective and inherent risk of the Scheme. I / We also confirm that I / We have not been paid any incentive or have not been promised any assured returns while investing in the scheme(s). The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We hereby confirm that the EUIIN 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. I/We hereby declare that I have understood the nature of questions in the KIM / application form and the importance of disclosing all the material information required and the facts disclosed in the application and the details provided by me/us in the Investor Awareness section are true and correct. I / We hereby agree and authorize Quantum AMC / Mutual Fund to provide my / our Personal / Investment(s) details to intermediaries by ways of feeds or such other means / medium for my / our investment that are routed / executed by me / us through the intermediaries. I/We am also aware of the Grievance Redressal and Dispute Resolution policies and procedures at Quantum Mutual Fund and am aware of whom to contact in case of any discrepancies in understanding or otherwise.

**Applicable to NRI only:** I/We confirm that I am / we are Non-Resident of Indian Nationality/Origin but not a person residing in Canada or a United States within the meaning of Regulation(s) under the United States Securities Act of 1933, as amended from time to time or of any country not compliant under the FATF Agreements 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. (Including amount of Additional Purchase Transaction made in future). I/We authorize this fund to reject the application, revert the units credited/redeem units created at applicable NAV (less exit load, if any), restrain me/us from making any further investment in any of the schemes of the fund, in case I/we have not provided details of me/us being resident of Canada or USA or any country not compliant under the FATF Agreements either at the time of investment or subsequently.

Repatriation       Non Repatriation

Date  Place \_\_\_\_\_

Signature(s)

Sole/1st Applicant/Guardian / Authorised Signatory	POA Signatory	2nd Applicant / Authorised Signatory	3rd Applicant / Authorised Signatory
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**CHECKLIST** ( Please submit the following documents with your application (where applicable). For Investors other than Individuals please also submit declaration of Beneficial Ownership (as applicable) as per format available on [www.QuantumMF.com](http://www.QuantumMF.com) All documents should be original/true copies certified by a Director/Trustee /Company Secretary /Authorised signatory /Notary Public.)

Documents	Individual	HUF	Companies/LLP	Societies	Partnership Firms	Investment through POA	Trusts	NRI	FII's*	PIO	FFI <sup>##</sup>
Resolution/ Authorisation to invest			✓	✓	✓		✓		✓		✓
List of authorised signatories with specimen signatures				✓	✓	✓	✓		✓		✓
Memorandum & Articles of Association			✓								
Trust Deed							✓				
Declaration of Ultimate Beneficial Ownership		✓		✓	✓		✓		✓		✓
Bye-laws				✓							
Partnership Deed					✓						
Certificate of Registration									✓		✓
Notarised POA						✓					
Copy of PAN Card	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓
KYC Compliance	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓
PIO Card										✓	
Foreign Inward Remittance Certificate										✓	
Trigger Form (if applied)	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓
Declaration under FATCA	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

\* For FII's copy of SEBI registration certificate should be provided. # Certificate of registration granted by designated depository participants on behalf of SEBI.

## Quantum Asset Management Company Pvt. Ltd.

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