



# QUANTUM INDIA ESG EQUITY FUND

An Open ended equity scheme investing in companies following Environment, Social and Governance (ESG) theme

(Continue Offer of units at Applicable NAV)

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 Documents (SID) and Statement of Additional Information (SAI) available free of cost at any of the Investor Service Centres 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.

This KIM is dated April 29, 2022.

## MUTUAL FUND

Quantum Mutual Fund.  
6th Floor, Hoechst House,  
Nariman Point, Mumbai - 400 021

## TRUSTEE

Quantum Trustee Company Private Ltd.  
6th Floor, Hoechst House,  
Nariman Point, Mumbai - 400 021  
CIN: U67190MH2005PTC156119

## SPONSOR

Quantum Advisors Private Ltd.  
6th Floor, Hoechst House,  
Nariman Point, Mumbai - 400 021  
CIN: U65990MH1990PTC055279

## INVESTMENT MANAGER

Quantum Asset Management  
Company Private Ltd.  
6th Floor, Hoechst House,  
Nariman Point, Mumbai - 400 021  
CIN: U65990MH2005PTC156152

## Product Labeling

| Name of the Scheme & Tier I Benchmark   | This product is suitable for investors who are seeking*   | Risk-o-meter of Scheme   | Risk-o-meter of Tier I Benchmark |
|---|---|--|----------------------------------|
| <p>Quantum India ESG Equity Fund</p> <p>(An Open ended equity scheme investing in companies following Environment, Social and Governance (ESG) theme)</p> <p>Tier I Benchmark: NIFTY100 ESG TRI</p> | <ul style="list-style-type: none"> <li>Long term capital appreciation</li> <li>Invests in shares of companies that meet Quantum's Environment, Social, Governance (ESG) criteria</li> </ul> | <p>Investors understand that their principal will be at Very High Risk</p> |                                  |

\*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.  
The Risk Level of the Scheme in scheme Risk O Meter is basis it's portfolio as on March 31, 2022.  
The Risk Level of the Tier I Benchmark Index in the Risk O Meter is basis it's constituents as on March 31, 2022.

| Investment Objective  | <p>The Investment Objective of the scheme is to achieve long-term capital appreciation by investing in share of companies that meet Quantum’s Environment, Social and Governance (ESG) criteria.</p> <p><b>The sustainability objectives of the ESG strategy are:</b></p> <p>a. achieving positive and above-average ESG profile</p> <p>b. mitigating ESG risks and harnessing ESG opportunities, and</p> <p>c. influencing overall positive behavior by investing in companies that promote sustainable products and services.</p>  |                                      |                                     |  |              |                                      |                                      |                  |   |    |     |      |   |   |    |     |
|---|--|--------------------------------------|-------------------------------------|--|--------------|--------------------------------------|--------------------------------------|------------------|---|----|-----|------|---|---|----|-----|
| Category Of Scheme  | Thematic Scheme  |                                      |                                     |  |              |                                      |                                      |                  |   |    |     |      |   |   |    |     |
| Asset Allocation Pattern of the scheme                                  | <table><tr><th rowspan="2">Types of Instruments</th><th colspan="2">Normal allocation (% of Net Assets)</th><th>Risk Profile</th></tr><tr><th>Minimum allocation (% of Net Assets)</th><th>Maximum allocation (% of Net Assets)</th><th>High/ Medium/Low</th></tr><tr><td>Equity &amp; Equity Related Instruments of Companies following ESG Criteria</td><td>80</td><td>100</td><td>High</td></tr><tr><td>Money Market Instruments &amp; Liquid Schemes of Mutual Funds</td><td>0</td><td>20</td><td>Low</td></tr></table> <p>The Scheme will not invest either in Repo of Corporate Debt Securities, Securitized Debt Instruments, Foreign Securities or Derivatives. In accordance with SEBI Circular No. CIR / IMD / DF / 11 / 2010 dated August 8, 2010, the aggregate asset allocation will not exceed 100% of net assets of the scheme.</p> <p>The Scheme, under normal circumstances, shall not have exposure of more than 50% of its net assets in stock lending. The Scheme may also not lend more than 5% of its overall stock lending exposure to any one intermediary to whom securities will be lent.</p> <p>The proportion of the scheme portfolio invested in each sector will vary to track sector weights that of a broad well-diversified indices to ensure portfolio diversification. The proportion of the scheme portfolio invested in each type of security within the sector will vary depending upon a comprehensive analysis of the company based on the Environmental, Social and Governance factors impacting the company and their peer group within its sector of operations.</p> <p><b>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.</b></p>  | Types of Instruments                 | Normal allocation (% of Net Assets) |  | Risk Profile | Minimum allocation (% of Net Assets) | Maximum allocation (% of Net Assets) | High/ Medium/Low | Equity & Equity Related Instruments of Companies following ESG Criteria | 80 | 100 | High | Money Market Instruments & Liquid Schemes of Mutual Funds | 0 | 20 | Low |
| Types of Instruments  | Normal allocation (% of Net Assets)  |                                      | Risk Profile                        |  |              |                                      |                                      |                  |   |    |     |      |   |   |    |     |
|   | Minimum allocation (% of Net Assets)   | Maximum allocation (% of Net Assets) | High/ Medium/Low                    |  |              |                                      |                                      |                  |   |    |     |      |   |   |    |     |
| Equity & Equity Related Instruments of Companies following ESG Criteria | 80   | 100                                  | High                                |  |              |                                      |                                      |                  |   |    |     |      |   |   |    |     |
| Money Market Instruments & Liquid Schemes of Mutual Funds               | 0  | 20                                   | Low                                 |  |              |                                      |                                      |                  |   |    |     |      |   |   |    |     |
| Investment Strategy   | <p>India has embarked upon a national level cleanliness movement- “Swachh Bharat Abhiyan”. The aim was to clean length and breadth of country, provide cleaner natural resources, improve hygiene and health and contribute towards achieving the sustainable development goal established by the United Nations in 2015.</p> <p>Supporting the mass movement for cleanliness and sustainability, Quantum India ESG Equity Fund is a step towards ensuring that investments flow into greener and cleaner business. The focus of this scheme would be on investing in businesses, which are ensuring sustainable management of natural and human resources, diversity within the organizational structure, prudent management and socially responsible framework of business. The aim of this scheme is to provide the investors an opportunity to have an exposure to sustainable investment option.</p> <p>The investment strategy determines sector weightages to reflect that of broad well diversified indices for the Indian equity markets. Further, the strategy aims to invest in companies within each sector that stand high on the Environmental, social and Governance parameters.</p> <p>The investment strategy of the Scheme will be to invest in a basket of stocks after intensive analysis on the environmental, social and governance aspects of the company. The aim is to follow a comprehensive ‘ESG Framework’ in order to develop deeper understanding into a company’s management practices, sustainable businesses and risk profile, which would thereby help us in understanding the impact on long-term sustainability that drives performance.</p> <p>The primary focus of the Scheme will be on companies based on two criteria. First is for selecting companies under coverage and second is for selecting companies in the portfolio. The first criteria is selecting companies generally trading with liquidity of minimum US \$ 1 million on an average over the last 12 months and second criteria based on their ESG score.</p> <p>Each security, which is filtered on the basis of first criteria, will be scored on ESG parameters using data sources such as sustainability reports (GRI Framework), Business Responsibility Reports (BRR) and other publicly available documents. Active weights of a security within their respective sector will be determined by a composite ESG score. A higher ESG score of a security within the sector will have higher relative weight and vice versa. The selection process ensures eliminating exposure to companies that rank poorly on ESG criteria completely. The sum total of the weights of securities in a sector will equal to track sector weights of broad well- diversified indices. The allocations focus on governance and sustainability; hence will be agnostic to valuations.</p> <p><b>The investment strategy is broadly a combination of the following ESG approaches:</b></p> <p>► Exclusions: The investment strategy excludes companies in the sectors – Alcohol, Gambling and Tobacco.</p> <p>► Integration: The investment strategy incorporates certain key financial filters that the company needs to comply with. These filters include long-term return on capital employed, leverage, and growth rates.</p> <p>► Best-in-class &amp; Positive Screening: The investment strategy is based on a positive screening and Best-in-Class approach subject to adherence of the company incorporating favorable ESG practices in core/material within each of the E, S, and G dimensions.</p> |                                      |                                     |  |              |                                      |                                      |                  |   |    |     |      |   |   |    |     |

The contribution to 'positive environmental change', an investor might reasonably expect:

► The Scheme Fund invests in companies that meet Quantum ESG criteria and has a positive ESG score which means the company stands relatively better as compared to other companies in their sectors on their ESG performance. While evaluating companies, the Team assess if the company has gone beyond their traditional remit and have made conscious effort to recognize the environment and society as important stake holders and have achieved a reasonable progress on their environmental footprint and social recognition and contribution. The Team also look for companies efforts in adapting and mitigating climate change and thereby reducing the carbon footprint, improving the resource efficiency, water usage and waste reduction and disposal. Similarly, on the social aspects, companies should work towards being more equitable, encourage diversity, positively contribute towards the society through judicious use of CSR, encouraging worker representation and health & safety at workplace, upholding best standards for data privacy and cyber security.

► The Team do not only measure these aspects through the ESG framework but monitor and engage companies to become better at their ESG performance. One can reasonably expect a gradual improvement and many of these material ESG measure impacting the companies' operations.

#### Decision-making process for Investing:

Decision-making process for investing is based on the use of proprietary ESG scoring methodology. The broad comparisons made by the analysts of various companies within the sector and also taking clues from global companies evolution provides great insights into any ambiguous claims made by the company being researched. The Research is not restricted. We do not restrict our research to self-declared company disclosures. We try to do a 360-degree company check is done by talking to various stakeholders like suppliers, vendors, customers, channel checks, employees, etc. to get more information to get a granular understanding of the true state of the company's affairs. We also try to get the information is also obtained from unorthodox sources like pollution control boards, NGOs, local communities in our bid to gather more information to verify the sustainability claims made by the company.

### 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. Risk Factors are summarized below:

The Scheme proposes to invest primarily in equity and equity related securities following Quantum's Environment, Social and Governance (ESG) criteria. The Scheme will, to the extent required to meet Repurchase / Redemption obligations or for want of immediate appropriate investment opportunities in equity or equity related instruments, also hold the funds in money market instruments or, subject to the limits as prescribed under the SEBI (Mutual Fund) Regulations, 1996, invest in units of liquid schemes under the Quantum AMC or any other Mutual Funds.

In the scheme, the portfolio allocations (or weights) are done on two levels: one on sector level and second at security level. The sectoral allocations in the Scheme will track the sectoral allocations of a broad well-diversified index to ensure portfolio diversification. The proportion of the scheme portfolio invested in each type of security within the sector will vary depending upon a comprehensive analysis of the company based on the Environmental, Social and Governance factors impacting the company and their peer group within its sector of operations. Therefore, the underlying security allocation may be under or overweight as compared to that in the broad well-diversified Index. There is a risk that the returns from the Scheme may not be exactly equivalent to the returns from the broad well-diversified Index.

Equity and equity-related risk: The Mutual Fund is not guaranteeing or assuring any returns. The trading volumes, settlement periods and transfer procedures may restrict the liquidity of the investments made by the Scheme. In the event investments are made in unlisted securities, the ability to liquidate such investments would be further limited. Along with liquidity risk, the NAV of the Units of the Scheme can go up or down because of various factors that affect the capital markets in general.

### 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 Mitigation / Risk Management Strategies  |
|--------------------|---|
| Liquidity Risk     | The Investments are made only in such stocks which has high trading volume in the market.   |
| Quality Risk       | Investment universe is selected based on ESG score and the scoring process takes into consideration the nature of industry, quality of business, history of company, management capabilities, promoter background, etc. Regular meeting are attended by analysts to be updated about the Company's information. |
| Price Risk         | The investment process is valuation agnostic but emphasis is on investing in sustainable business to drive long term performance.   |
| Volatility Risk    | External factors like liquidity flows, changes in the business environment, economic policy, corporate governance etc. contributed largely to the volatility. The scheme will manage volatility risk through diversification.   |
| Concentration Risk | The concentration risk and volatility risk both are managed through diversification. The investments are made across various sectors to diversify and within the sector; there is a limit on the allocation to each stock at maximum 5% at cost and 10% at market value.  |

|                               |  |
|-------------------------------|--|
| Allocation Risk               | The emphasis is on investing in sustainable business which should do well over the long term. Also, the portfolio is well diversified at the sector level and considers allocation of a broad diversified index for investing. At the time of rebalancing of the portfolio, the sector weights are rebalanced to reflect the Index exposure. In case of changes in sectoral composition, a sector is included or excluded from the portfolio. In case of addition of new sector, the underlying stocks are added in proportion to their respective ESG score ensuring that the sum total of the weights of stocks in that sector will be equal to respective sector weight.  |
| Corporate Actions             | In case of corporate actions like merger, demerger or issue of QIP, the rebalancing of stocks shall be done on the next set date to maintain the sectoral weights and stock weight limit.  |
| Risks related to greenwashing | Greenwashing is the process of conveying a false impression or providing misleading information about how a company's business/products/services are more environmentally sound. The Team We are well aware that there are many "greenwashing" incentives for companies from brand building to attracting investment flows. It is our fiduciary duty as custodians of investor capital to navigate any greenwashing attempts and deliver investors true sustainability geared portfolio. The Team We understand that ESG is not a "tick the box" desk research. The Team We do not restrict our the research to self-declared company disclosures. The Team We try to do a 360-degree company check by talking to various stakeholders like suppliers, vendors, customers, channel checks, employees, etc. to get more information to get a granular understanding of the true state of the company's affairs. The Team We also try to get information from unorthodox sources like pollution control boards, NGOs, local communities in our bid to leave no stone unturned. There is also an attempt to verify the information with other available data and map with other companies in the sector and globally to identify any red flags. |
| Volatility risk               | External factors like liquidity flow, changes in the business environment, economic policy, corporate governance, etc. contributed largely to the volatility. The scheme will manage volatility risk through diversification.  |

## Plans and Options

**The Scheme offers two Plans:**

- (I) Direct Plan
- (II) Regular Plan

**Each plan offers Growth Option**

Investor should indicate the Direct / Regular Plan for which the subscription is made by indicating the choice in the application form. In case of valid application received without indicating any choice of plan then the application will be processed for plan as under:

| Scenario | Broker Code mentioned by the investor | Plan mentioned by the investor | Default Plan to be captured |
|----------|---------------------------------------|--------------------------------|-----------------------------|
| 1        | Not mentioned                         | Not mentioned                  | Direct Plan                 |
| 2        | Not mentioned                         | Direct                         | Direct Plan                 |
| 3        | Not mentioned                         | Regular                        | Direct Plan                 |
| 4        | Mentioned                             | Direct                         | Direct Plan                 |
| 5        | Direct                                | Not Mentioned                  | Direct Plan                 |
| 6        | Direct                                | Regular                        | Direct Plan                 |
| 7        | Mentioned                             | Regular                        | Regular Plan                |
| 8        | Mentioned                             | Not Mentioned                  | Regular Plan                |

In cases of wrong / invalid / incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application.

## Applicable NAV

**Subscription/Purchase including SWITCH-INS:**

- a. In respect of valid application received up to 3.00 p.m. on a Business Day at the official point(s) of acceptance and funds for the entire amount of subscription/ purchase (including switch in) 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 shall be applicable;
- b. In respect of valid application received after 3.00 p.m. on a Business Day at the official point(s) of acceptance and funds for the entire amount of subscription / purchase (including switch in) as per the application are credited to the bank account of the Scheme on the same day or before the cut-off time of the next business day i.e. funds are 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;
- c. However, irrespective of the time of receipt of application at the official point(s) of acceptance, where the funds for the entire amount of subscription/ purchase ( including switch in) as per the application are credited to the bank account of the Scheme on or before the cut-off time of the subsequent Business day i.e. the funds are available for utilisation before the cut-off time of the subsequent Business day, the closing NAV of the such subsequent Business Day shall be applicable, It may be noted that in case of Systematic Investment Plan (SIP), Systematic Transfer Plan (STP), Transfer of Income Distribution

Cum Capital Withdrawal Facility, the units will be allotted based on the funds available for utilization by the respective schemes / target schemes irrespective of the installment date of the SIP, STP or record date of Income Distribution.

Further, if the time of realization of funds can't be ascertained then the allotment of units will be as per the day and date of realization of amount of subscription. It may also be noted that allotment of units in the normal course will be based on realization of amount of subscription or the date of receipt of application or the date of instalment (in case of SIP) whichever is later if both realization and application dates are different.

#### REDEMPTIONS INCLUDING SWITCH-OUTS:

1. In respect of valid applications received up to 3 p.m. on a Business Day - the closing NAV of the day of receipt of application shall be applicable.
2. In respect of valid applications received after 3 p.m. on a Business Day - the closing NAV of the next Business Day shall be applicable. The redemption or repurchase proceeds shall be dispatched / credited to the registered bank account of the unitholders to the unitholders within 10 working days from the date of redemption or repurchase.

#### Minimum Application Amount/ Number of Units (under each plan / option)

| Purchase/Switch Ins                           | Additional Purchase                                      | Repurchase /Redemption/Switch Outs   |
|---|--|--|
| ₹500/- and in multiples of Re. 1/- thereafter | ₹500/- and in multiples of Re. 1/- thereafter / 50 Units | ₹500/- and multiples of Re. 1 thereafter or account balance whichever is less / 50 units |

#### Systematic Investment Plan (SIP) & Systematic Transfer Plan (STP):

(I) Daily – ₹100 and multiple of Re. 1 thereafter

(ii) Weekly / Fortnightly / Monthly / Quarterly – ₹500 and in multiples of Re. 1 thereafter

#### Systematic Withdrawal Plan (SWP):

Weekly / Fortnightly / Monthly / Quarterly – ₹500 and in multiples of Re. 1 thereafter

#### Dispatch of Repurchase (Redemption) Request

The redemption or repurchase proceeds shall be dispatched / credited to the registered bank account of the unitholders to the unitholders within 10 working days from the date of redemption or repurchase.

#### Tier I - Benchmark Index

Nifty 100 ESG Total Return Index

#### Income Distribution Policy

Not Applicable, as the Scheme does not have Income Distribution cum Capital Withdrawal Option

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

Mr. Chirag Mehta – Fund Manager – Managing Since July 12, 2019 (2.9 years)  
Ms. Sneha Joshi – Associate Fund Manager – Managing Since July 12, 2019 (2.9 years)

#### Name of the Trustee Company

Quantum Trustee Company Private Limited

#### Performance of the Scheme (as on March 31, 2022)

##### Quantum India ESG Equity Fund – Direct Plan – Growth Option

| Period            | Scheme Returns % | Tier – I Benchmark Returns % (NIFTY100 ESG TRI) |
|-------------------|------------------|---|
| 1 Year*           | 14.19%           | 21.10%  |
| Since Inception** | 20.40%           | 20.89%  |

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

\*Annualized \*\* CAGR Date of Inception: July 12, 2019

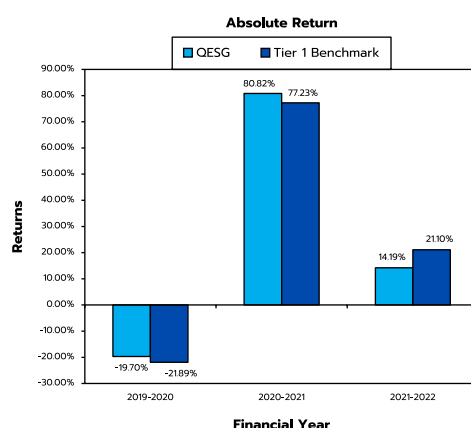
##### Quantum India ESG Equity Fund – Regular Plan – Growth Option

| Period            | Scheme Returns % | Tier – I Benchmark Returns % (NIFTY100 ESG TRI) |
|-------------------|------------------|---|
| 1 Year*           | 13.36%           | 21.10%  |
| Since Inception** | 19.62%           | 20.89%  |

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

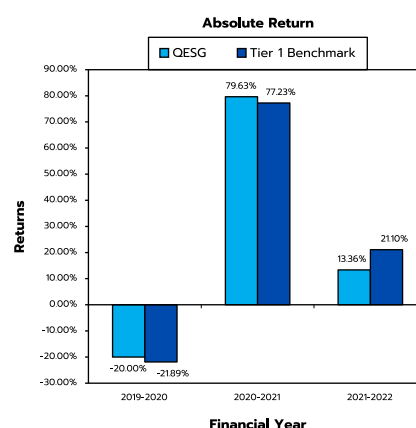
\*Annualized \*\* CAGR Date of Inception: July 12, 2019

**Absolute Returns for last 3 Financial Years.  
Quantum India ESG Equity Fund - Direct Plan -  
Growth Option**



Date of Inception: July 12, 2019  
Past performance may or may not be sustained in future

**Absolute Returns for last 3 Financial Years.  
Quantum India ESG Equity Fund - Regular Plan -  
Growth Option**



Date of Inception: July 12, 2019  
Past performance may or may not be sustained in future

**Scheme Portfolio Holdings  
as on March 31, 2022**

(i) Top 10 Holdings by Issuer:

| Issuer  | % to NAV      |
|---|---------------|
| Infosys Limited                                 | 5.45%         |
| Tata Consultancy Services Limited               | 4.99%         |
| Others  | 4.97%         |
| Wipro Limited                                   | 3.83%         |
| Housing Development Finance Corporation Limited | 3.78%         |
| Tata Chemicals Limited                          | 3.41%         |
| Tata Consumer Products Limited                  | 3.41%         |
| Marico Limited                                  | 3.15%         |
| Tata Communications Limited                     | 3.09%         |
| HDFC Bank Limited                               | 2.77%         |
| <b>Grand Total</b>                              | <b>38.85%</b> |

(ii) Fund Allocation Toward Various Sectors:

| Sector Allocation     | % to NAV |
|-----------------------|----------|
| Software              | 22.19%   |
| Consumer Non Durables | 16.50%   |
| Banks                 | 10.25%   |
| Auto                  | 9.24%    |
| Consumer Durables     | 7.46%    |

|                          |                |
|--------------------------|----------------|
| Others                   | 4.97%          |
| Chemicals                | 4.68%          |
| Cement & Cement Products | 4.26%          |
| Finance                  | 3.78%          |
| Healthcare Services      | 3.31%          |
| Telecom - Services       | 3.09%          |
| Power                    | 1.97%          |
| Pesticides               | 1.64%          |
| Industrial Capital Goods | 1.35%          |
| Leisure Services         | 1.26%          |
| Gas                      | 1.14%          |
| Retailing                | 0.99%          |
| Auto Ancillaries         | 0.99%          |
| Petroleum Products       | 0.93%          |
| <b>Grand Total</b>       | <b>100.00%</b> |

**Note: Others include TRI-Party Repo cash & cash equivalents**

(iii) Scheme's latest monthly portfolio holdings shall be available once portfolio is constructed at the following link <https://www.quantumamc.com/schemeportfolio.aspx?SchemeId=0&FactSheetType=2>

**Portfolio Turnover Ratio as  
on March 31, 2022**

6.28%

**Expenses  
of the Scheme**

**(I) Load  
Structure**

**Entry Load:** Not Applicable

|   |     |
|---|-----|
| <b>Exit Load:</b>   |     |
| 10% of units if redeemed or switched out on or before 365 days from the date of allotment           | NIL |
| Remaining 90% of units if redeemed or switched out on or before 365 days from the date of allotment | 1   |
| If redeemed or switched out on or after 365 days from the date of allotment                         | NIL |

**Note: Redemptions / Switch outs of units will be done on First In First Out (FIFO) basis. The above mentioned load structure shall be equally applicable to the special facilities such as Systematic Withdrawal Plan (SWP) / Systematic Transfer Plan (STP) and Switches etc. However, no load shall be charged for switching in between option / plan within the Scheme.**



**(ii) Recurring expenses**

As per Regulation 52(6)(c) of SEBI (MF) Regulations, the total expenses of the Scheme, including Investment Management and Advisory Fees shall be subject to following limits as specified below.

| Asset Under Management Slab                        | Total Expense Ratio % limits   |
|--|--|
| On the first ₹500 Crores of the daily net asset    | 2.25   |
| On the next ₹250 Crores of the daily net assets    | 2.00   |
| On the next ₹1,250 Crores of the daily net assets  | 1.75   |
| On the next ₹3,000 Crores of the daily net assets  | 1.60   |
| On the next ₹5,000 Crores of the daily net assets  | 1.50   |
| On the next ₹40,000 Crores of the daily net assets | Total expense ratio reduction of 0.05% for every increase of ₹5,000 Crores of daily net assets or part thereof |
| On balance of the assets                           | 1.05   |

The AMC has estimated that up to 2.25% of the daily net assets of the Scheme will be charged to the

Scheme as permitted under Regulation 52 of SEBI (MF) regulations, 1996. For actual current expense being charged, the investor should refer to the website of the Mutual Fund viz. [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com). Investor can refer <https://www.quantumamc.com/total-expense-ratio/report-1> for total expense ratio details.

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.

Regular Plan expense ratio will be higher of upto 0.50% or such other higher percentage as may be decided from time to time inclusive of Statutory Levies and Applicable Taxes (if any) in comparison of Direct Plan expense ratio within the Total Expense Ratio limit, wherein distributor commission for distribution of units will be paid / charged under the Regular Plan.

All fees and expenses charged under the Direct Plan (in percentage terms) under various heads including the investment and advisory fee shall not exceed the fees and expense charged under such heads in the Regular Plan.

Actual Management Fees and Other Expenses incurred from 1st April 2021 to March 2022.

Direct Plan – ₹37,02,791 (0.93% p.a.)  
Regular Plan – ₹17,67,173 (1.68% p.a.)

**Transaction Charges**

In accordance with the SEBI Circular No. Cir / IMD / DF/13/2011 dated August 22, 2011, the AMC is allowed to deduct transaction charges of Rs. 100 for existing investors and Rs.150 for a first time investor per subscription of Rs.10,000 /- and above for the transaction / application received through distributors. The transaction charges shall be deducted by the AMC from the subscription amount received from the investor and paid to the distributor and the balance will be invested in the Scheme. Investors are requested to note that no transaction charges shall be deducted from the investment amount for transactions / applications received from the distributor (i.e. in Regular Plan) and full subscription amount will be invested in the Scheme.

**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 & 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 on every Business Day. AMC shall update the NAV under separate head on the website of the Fund ([www.QuantumMF.com](http://www.QuantumMF.com) / [www.QuantumAMC.com](http://www.QuantumAMC.com)) and on the website of Association of Mutual Funds in India [www.amfiindia.com](http://www.amfiindia.com) by 11.00 p.m. every business day. Investors may obtain latest NAV through SMS by a specific request to the AMC.

**For Investor Grievances please contact**

Registrars & Transfer Agent:  
**KFin Technologies Limited**  
Unit: Quantum Mutual Fund,  
Selenium, Tower B, Plot number  
31 & 32 Financial, District –  
Nanakramguda, Serilingampally  
Mandal, Hyderabad - 500032  
Phone: +91 – 040-23312454

Investor 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)) Mr. Sandeep Bhosle – Assistant Vice President – Customer Interaction for any queries separate head on the website of the Fund/ clarifications and Ms. Meera Shetty – Investor Relation Officer for any complaint / grievance can be contacted at Quantum Asset Management Company Private Limited 6th Floor, Hoechst House, 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).

## Product Labelling / Risk-o-Meter

The Risk-o-meter shall have following six levels of risk:

- i. Low Risk
- ii. Low to Moderate Risk
- iii. Moderate Risk
- iv. Moderately High Risk
- v. High Risk and
- vi. Very High Risk

The evaluation of risk levels of a scheme shall be done in accordance with SEBI Circular no. SEBI/HO/IMD/DF3/CIR/P/2020/197 dated October 5, 2020.

Any change in risk-o-meter shall be communicated by way of Notice cum Addendum and by way of an e-mail or SMS to unitholders. The risk-o-meter shall be evaluated on a monthly basis and the risk-o-meter alongwith portfolio disclosure shall be disclosed on the AMC website as well as AMFI website within 10 days from the close of each month.

The AMC shall disclose the risk level of schemes as on March 31 of every year, along with number of times the risk level has changed over the year, on its website and AMFI website.

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

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).

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

### Monthly / Half yearly Portfolio Disclosures:

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

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

The Fund will publish an advertisement every half-year in the all India edition of at least two daily newspapers, one each in English & Hindi, disclosing the hosting of the half yearly statement of the scheme's portfolio on the AMC's website [www.QuantumMF.com](http://www.QuantumMF.com) / [www.QuantumAMC.com](http://www.QuantumAMC.com) & on the website of AMFI [www.amfiindia.com](http://www.amfiindia.com). The Fund will provide physical copy of the statement of scheme portfolio without any cost, on specific request received from a unitholders.

### 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.

### Email ID and Mobile Number for communication:

Primary holders should provide their own email address and mobile number for speed and ease of communication in a convenient and cost effective manner, and to help prevent fraudulent transactions.

Dated: April 29, 2022



### Comparison Chart

| Name of the Scheme                  | Asset Allocation Pattern  |                                      |                                      |   | Primary Investment Pattern  | Differentiation   | AUM ₹ in Crore (As on Mar 31, 2022) | No. of Folios (As on Mar 31, 2022) |
|-------------------------------------|---|--------------------------------------|--------------------------------------|---|---|---|-------------------------------------|------------------------------------|
| Quantum Long Term Equity Value Fund | Type of Instruments   | Normal allocation (% of Net Assets)  | Minimum allocation (% of Net Assets) | Maximum allocation (% of Net Assets)  | To invest in shares of companies included in BSE-200 Index.   | An Open-ended Equity Scheme following a value investment strategy | 869.48                              | 26,352                             |
|                                     | 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                 | Type of Instruments   | Normal Allocation (% of Net Assets)  |                                      | To invest in Debt & Money Market Instruments.   | An Open-ended Liquid Scheme. A relatively low interest rate risk and relatively low credit Risk.                                  | 526.90  | 6,258                               |                                    |
|                                     | 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 ETF               | Type of instruments   | Normal Allocation (% of Net Assets)  |                                      | To invest in Physical Gold.   | An Open Ended Scheme Replicating / Tracking Gold  | 144.36  | 9,504                               |                                    |
|                                     |   | Minimum Allocation (% of Net Assets) | Maximum Allocation (% of Net Assets) |   |   |   |                                     |                                    |
|                                     | Physical Gold   | 95%                                  | 100%                                 |   |   |   |                                     |                                    |
|                                     | Money Market Instruments  | 0%                                   | 5%                                   |   |   |   |                                     |                                    |
| Quantum Nifty 50 ETF                | Type of instruments   | Normal Allocation (% of Net Assets)  |                                      | To invest in stocks of companies comprising Nifty 50 Index.   | An open ended Scheme Replicating / Tracking Nifty 50 Index  | 16.67   | 660                                 |                                    |
|                                     |   | Minimum Allocation (% of Net Assets) | Maximum Allocation (% of Net Assets) |   |   |   |                                     |                                    |
|                                     | Securities covered by the Nifty 50 Index  | 95%                                  | 100%                                 |   |   |   |                                     |                                    |
|                                     | Money Market Instruments  | 0%                                   | 5%                                   |   |   |   |                                     |                                    |
| Quantum Tax Saving Fund             | Type of instruments   | Normal Allocation (% of Net Assets)  |                                      | 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.                                    | 105.20  | 12,742                              |                                    |
|                                     |   | Minimum Allocation (% of Net Assets) | Maximum Allocation (% of Net Assets) |   |   |   |                                     |                                    |
|                                     | Equity and Equity-related Securities  | 80%                                  | 100%                                 |   |   |   |                                     |                                    |
|                                     | Debt and Money Market Instruments   | 0%                                   | 20%                                  |   |   |   |                                     |                                    |
| Quantum Equity Fund of Funds        | Type of instruments   | Normal Allocation (% of Net Assets)  |                                      | 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                             | 79.27   | 5,580                               |                                    |
|                                     |   | Minimum Allocation (% of Net Assets) | Maximum Allocation (% of Net Assets) |   |   |   |                                     |                                    |
|                                     | 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           | Type of instruments   | Normal Allocation (% of Net Assets)  |                                      | To invest in the units of Quantum Gold Fund ETF.  | An Open ended Fund of Fund Scheme investing in Quantum Gold Fund.   | 72.87   | 5,864                               |                                    |
|                                     |   | Minimum Allocation (% of Net Assets) | Maximum Allocation (% of Net Assets) |   |   |   |                                     |                                    |
|                                     | Units of Quantum Gold Fund ETF  | 95%                                  | 100%                                 |   |   |   |                                     |                                    |
|                                     | Money Market instruments, Short-term Corporate debt securities, Tri-Party Repo and units of Debt and Liquid Schemes of Mutual Funds                   | 0%                                   | 10%                                  |   |   |   |                                     |                                    |
| Quantum Multi Asset Fund of Funds   | Type of instruments   | Normal Allocation (% of Net Assets)  |                                      | 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.   | 46.35   | 2,536                               |                                    |
|                                     |   | Minimum Allocation (% of Net Assets) | Maximum Allocation (% of Net Assets) |   |   |   |                                     |                                    |
|                                     | 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, Tri-Party Repo, Repo / Reverse Repo in Government Securities and treasury bills only. | 0%                                   | 5%                                   |   |   |   |                                     |                                    |
| Quantum Dynamic Bond Fund           | Type of instruments   | Normal Allocation (% of Net Assets)  |                                      | 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. A relatively high interest rate risk and relatively low credit risk. | 85.44   | 1,617                               |                                    |
|                                     |   | Minimum Allocation (% of Net Assets) | Maximum Allocation (% of Net Assets) |   |   |   |                                     |                                    |
|                                     | Government Bond / Bill  | 25%                                  | 100%                                 |   |   |   |                                     |                                    |
|                                     | PSU Bond  | 0%                                   | 50%                                  |   |   |   |                                     |                                    |
|                                     | Certificate of Deposits/ Commercial Paper/ Short Term Debt Instrument   | 0%                                   | 75%                                  |   |   |   |                                     |                                    |
|                                     | Tri-Party Repo / Repos  | 0%                                   | 100%                                 |   |   |   |                                     |                                    |
| Quantum India ESG Equity Fund       | Type of instruments   | Normal Allocation (% of Net Assets)  |                                      | Invests in shares of companies that meet Quantum's Environment, Social and Governance (ESG) criteria.   | An Open ended equity scheme investing in companies following Environment, Social and Governance (ESG) theme.                      | 58.05   | 7,116                               |                                    |
|                                     |   | Minimum Allocation (% of Net Assets) | Maximum Allocation (% of Net Assets) |   |   |   |                                     |                                    |
|                                     | Equity & Equity Related Instruments of Companies following ESG Criteria   | 80%                                  | 100%                                 |   |   |   |                                     |                                    |
|                                     | Money Market Instruments & Liquid Schemes of Mutual Funds   | 0%                                   | 20%                                  |   |   |   |                                     |                                    |

Dated: April 29, 2022

## INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM

### 1. Scheme features and investment details

**Quantum India ESG Equity Fund**  
An Open ended equity scheme investing in companies following Environment, Social and Governance (ESG) theme

This product is suitable for investors who are seeking\*

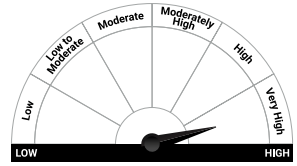
- Long term capital appreciation
- Invests in shares of companies that meet Quantum's Environment, Social, Governance (ESG) criteria

**Tier I Benchmark: NIFTY100 ESG TRI**

**Risk -o-meter of scheme**



**Risk -o-meter of Tier I Benchmark**



\*Investors should consult their financial advisers if in doubt about whether the product is suitable for them. The Risk Level of the Scheme in scheme Risk O Meter is basis it's portfolio as on March 31, 2022. The Risk Level of the Tier I Benchmark Index in the Risk O Meter is basis it's constituents as on March 31, 2022.

## INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM Continued...

|   |  |
|---|--|
| <b>2. General Instructions</b>              | <p>a) Please read the Key Information Memorandum, Scheme Information Document (SID) of the respective scheme(s) and Statement of Additional Information (SAI) containing the terms of offer carefully before investing.</p> <p>b) Please Tick (✓) in the appropriate box (o), where boxes have been provided.</p> <p>c) Application Form should be filled legibly in ENGLISH in BLOCK letters using Black or Dark Blue ink. Incomplete application forms are liable to be rejected. Please refer to the checklist at the end of the application form to ensure that the requisite details and documents have been provided in order to avoid unnecessary delays and / or rejection of your application.</p> <p>d) Please strike out any section that is not applicable. Correction/Cancellation on any of the information should be countersigned by the investor.</p> <p>e) All applicants are deemed to have accepted the terms subject to which the offer is being made and bind themselves to the terms upon signing the Application Form and tendering the payment.</p> <p>f) In case of applications under Power of Attorney or by a Limited Company or by a Corporate Body or Eligible Institution or a Registered Society or a Trust or a Fund the original Power of Attorney or the certified copy thereof duly notarised and the relevant resolution or authority to make the application, as the case may be including authority granted in favour of the officials signing the application and their specimen signature etc., or duly certified copy thereof 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 office of the Registrar, quoting the serial number of application simultaneously with the submission of the Application Form, failing which the application is liable to be rejected.</p> <p>g) All communications and payments will be made to the sole/first applicant or to the Karta in case of HUF. Confirmation may also be sent to all joint holders.</p> <p>h) While processing the redemption/switch out request in case Quantum AMC/Registrar come across a signature mismatch, then Quantum AMC/Registrar reserves the right to process the redemption/switch only on the basis of supporting documents confirming the identity of the investors. List of such documents would be notified by Quantum AMC from time to time.</p> <p>i) Investors who wish to make Systematic Investment Plan (SIP) will need to complete and submit the Application Form along with the SIP Application Form.</p> <p>j) Quantum Mutual Fund does not levy any transaction charges to pay to the distributors and will invest the whole subscription amount received and units will be allotted accordingly.</p> <p>k) Direct Plan: An investor who has made the investment directly from the Mutual Fund or through RIA (mentioned RIA code) needs to select the Plan as 'Direct'.</p> <p>Regular Plan: Any investment made through a distributor by mentioning valid distributor details, need to select the Plan as 'Regular'. The AMC will be paying commission to the distributor for such transactions.</p> <p>Investors are requested to note that, under the Income Distribution cum Capital Withdrawal Option/ Facility, the amounts can be distributed out of investors capital (Equalization Reserve), which is part of sale price that represents realized gains.</p> |
| <b>3. Existing Unitholder Information</b>   | <p>An existing investor should mention the correct Folio Number &amp; go directly to Section (Scheme Details). Investors should note that there will be no change to the existing Investor Profile Details mentioned in the Existing Folio.</p>  |
| <b>4. A) Permanent Account Number (PAN)</b> | <p>Permanent Account Number (PAN) issued by the Income Tax Authorities has been made mandatory for all the applications received in the Scheme, irrespective of the amount of transaction (except MICRO 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. The PAN Exempt KYC Registration Number (PEKRN) needs to be provided in case of PAN exempt cases.</p>   |
| <b>B) Know Your Customer (KYC)</b>          | <p>According to SEBI Guidelines under 'The Prevention of Money Laundering Act, 2002, Mutual Funds are required to follow enhanced Know Your Customer (KYC) norms. Accordingly, it will be mandatory for all categories of investors to be KYC Compliant, irrespective of the amount of investment. Categories include:</p> <p>i. Individual investors.</p> <p>ii. Non-individual investors such as Companies, Body Corporates, Association of Persons, Banks, Financial Institutions, Funds, Trusts, Societies, Hindu Undivided Family (HUF), Partnership Firms, Foreign Institutional Investors, Limited Liability Partnerships etc.</p> <p>iii. Non-Resident Investors (NRIs), including Persons of Indian Origin (PIOs).</p> <p>The above category of investors for the purpose of KYC compliance shall include their constituted Power of Attorney (POA) holder, in case of investment through a POA and each of the applicants, in case of application in joint names and also the guardian in case of a minor. Investors investing through Micro SIP or investors residing in the state of Sikkim or UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India or in case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc. are exempt from the mandatory requirement of PAN proof submission, however they are required to mandatorily submit KYC Acknowledgment copy while making an investment in Quantum Mutual Fund. Please refer to our website <a href="http://www.QuantumMF.com">www.QuantumMF.com</a> and AMFI website <a href="http://www.amfiindia.com">www.amfiindia.com</a> and SEBI registered intermediaries for KYC compliance where the completed forms and the relevant documents are to be submitted. Applications for subscriptions without a valid KYC Compliance for the relevant category of investors may be rejected.</p>  |

Provided further, where it is not possible to verify the KYC Compliance status of the investor at the time of allotment of units, Quantum AMC shall verify the KYC Compliance status of the investor within a reasonable time after the allotment of units. In case during first time purchase the investor's KYC verification/ Compliance is under process, subsequent purchase shall not be permitted till the investor is KYC Compliant.

In case of Non-individual investors, Quantum AMC will verify the status of KYC compliance of beneficiaries whose beneficiary ownership interest in the investor is more than the limit as prescribed in the Regulations, from KRA (KYC Registration Agency) on the basis of PAN No. of beneficiaries provided by the investor along with the beneficiary holding pattern and the filled application form. In case the beneficiary is not KYC compliant and such beneficiary ownership interest in the investor is more than the limit as prescribed in the Regulations, Quantum AMC reserves the right to source documents relating to identity, address and beneficiary ownership interest in the beneficiary of such beneficiary from the beneficiary directly and / or the investor. The list of valid documents in this regard is prescribed in the application form under title CHECKLIST of documents at the bottom of the application form.

In the event of non compliance of KYC requirements, Quantum AMC reserves the right to freeze the folio of the investor(s) for any kind of transactions or affect mandatory redemption of unit holdings of the investors at the Applicable NAV, subject to payment of exit load, if any. Investors, who have obtained MIN allotment letter by submitting the PAN copy, are deemed to be KYC compliant. Investors should note that on completion of KYC Compliance address details of the investor in the Mutual Fund records will be replaced by the details as given in KYC Application Form by the investor to the KRA. Any change in this details like change of Name / Address /Status /Signature, etc. should be given by Investor directly to KRA in the prescribed Change request form quoting PAN number. Quantum AMC reserves the right to call for any additional information from the investors/ applicant/ reject applications/subsequent application in order to fulfill the requirements of PMLA norms prescribed by SEBI/PMLA Regulations from time to time.

Quantum AMC further reserves the right to source data/ documents/ information/ specimen signature from third party/ KRA and that Quantum AMC has the right to use the same/ specimen signature for validation to process any future transactions that are submitted by the investor.

## 5. Employee Unique Identification Number (EUIIN)

Investor investing through Intermediary shall mandatorily mention the EUIIN on the application form, irrespective whether he/she has been advised by Sales person/ Employee/ Relationship manager of the Intermediary or not. However, in case of any exception cases, where there is no interaction by Sales person / Employee / Relationship manager of the intermediary with respect to the investment / transaction, the EUIIN box may be left blank. If left blank, AMC will seek the following declaration separately from the investor, "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."

It is mandatory to obtain EUIIN for every Sales person / Employee / Relationship manager of the Intermediary for dealing (irrespective whether transactions are in the nature of execution or advisory) in mutual fund products. 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. Applicant Information

- a. Name should be given in full without any abbreviations. Preferably write exactly as it appears in your Bank Account & KYC records or as it appears in the incorporation document or demat account as the case may be.
- b. Name, Date of birth of the Minor, Name of Parent/Guardian and relationship with minor is mandatory for investment on behalf of a Minor applicant, proof of date of birth and relationship proof is mandatory.
- c. Name of the Contact Person, email and Telephone no. should be mentioned in case of investments by Company, Body Corporate, Trust, Society, FII and other non-individual applicants.
- d. The signature should be in English or in any of the Indian languages. Thumb Impressions must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal. Application by minor should be signed by the guardian. In case of H. U. F., the Karta should sign on behalf of the H. U.F.
- e. The designated Investor Service Center/ Official Point of Acceptance will affix time stamp/manual stamp and return the acknowledgement slip from the application form, to acknowledge receipt of the application. No separate receipt will be issued for the application money.
- f. Please fill in all the fields to prevent rejection of your Application Form. Please refer to the checklist provided at the end of the Application Form to ensure that the necessary details and attachments are made available. The application complete in all respects along with the cheque/ fund transfer instructions must be submitted to the nearest designated Investor Service Center. Official Points of Acceptance Applications which are incomplete, invalid in any respect or not accompanied by cheque or fund transfer instructions for the amount payable are liable to be rejected.
- g. Investors must write the Application Form number / Folio number on the reverse of the cheques accompanying the Application Form.
- h. Name and address must be given in full (P.O. Box Address alone is not sufficient). In case of NRIs/FIIs 'Overseas Address' should also be provided failing which application may be rejected. In addition, Indian address should be stated for correspondence.
- i. Differently abled here refers to people with Blindness, Low vision, Leprosy-cured, Hearing impairment, Loco motor disability, Mental retardation, Mental illness etc. as defined under the Persons with Disabilities Act, 1995, which ensures Participation and Equality of the People with Disabilities. This is as per the definition laid down by the Department of Empowerment of Persons with Disabilities, Government of India. [http://disabilityaffairs.gov.in/upload/uploadfiles/files/PWD\\_Act.pdf](http://disabilityaffairs.gov.in/upload/uploadfiles/files/PWD_Act.pdf).
- j. Some additional details are required for validating your identity for certain transactions / Communications. Hence please fill annual income, mobile number and email id in case of all applicants.

|  |   |
|--|---|
|  | <p>k. Please provide email ID &amp; 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. Please declare if the Email Id and Mobile Number of the respective applicants belongs to Self / Spouse / Dependent Children / Dependent siblings / Dependent Parents / Guardian</p> <p>l. In the event the application has more than one investor and the mode of holding is not specified in the application form, the default option for holding would be considered to be "anyone or survivor". However, in all such cases, communications, proceeds of all income distribution/redemption will be paid to the first named holder. m. The minor shall be the first and the sole holder in an account. There shall not be any joint accounts with minor as the first or joint holder.</p> <p>n. Date of birth of the minor along with photocopy of supporting documents as enumerated below shall be mandatory while opening the account on behalf of minor:</p> <ol style="list-style-type: none"> <li>1. Birth certificate of the minor, or 2. School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or 3. Passport of the minor, or 4. Any other suitable proof evidencing the date of birth of the minor.</li> </ol> <p>o. Guardian in the folio on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian.</p> <p>p. In case the Occupation is not specified, the default occupation will be considered as "Private Sector Service" and in case the Income slab is not selected, the default income slab (minimum income) "Upto 1 Lac" will be considered.</p>   |
| <b>7. Power Of Attorney</b>                      | Investment through constituted Attorney should necessarily be signed by the constituted Power of Attorney holder.   |
| <b>8. E-Mail / Telephonic Communication</b>      | You can now generate PIN online through our website to view your folio details and also to transact online. PIN is not required to purchase online and also not required for online SIP. The PIN can be generated online through our website. This will help you in keeping track of your fund via the internet and allow you to purchase, switch and redeem your units at the touch of a button. Also there is a "TPIN" which can be used to know the folio details in the IVR. Please refer to Electronic Communication /Transactions Terms and Conditions for details.   |
| <b>9. Electronic/ Telecommunication Facility</b> | Please indicate the documents which you do NOT wish to receive in physical format, not ticking on the box would mean that a physical copy along with an email of the said document/s will be sent to you. Newsletters, addenda and other general information will be sent to you via email only. Physical copies of the same will not be sent. As per SEBI guidelines, Annual Report will be forwarded to the registered email id i.e. registered with the AMC. In case unitholder desires to receive physical copy of the same you need to inform us accordingly.  |
| <b>10. Bank Account Details</b>                  | <p>SEBI Regulations have made it mandatory for investors to mention the Bank Name &amp; address of branch and Bank Account Number in their Investment application form in order to protect the interest of investors from fraudulent encashment of cheques. For registering multiple bank accounts please fill separate Form for Registering/ Adding/cancellation of Multiple Bank Accounts. Individuals / HUF can register upto 5 bank accounts and Non Individuals upto 10 bank accounts.</p> <p>Please attach either a Cancelled Cheque with first applicant name and account number pre-printed on the face of the cheque or a Bank Statement with current entries not older than 3 months or a Certified Bank Passbook with current entries not older than 3 months or a Bank Letter/Certificate duly signed by Bank Branch Manager/Authorized Personnel. If photocopy of any document is submitted, the copy should be certified by the Bank Manager or self attested copy along with Original documents for verification.</p> <p>Additionally the AMC may call for any additional documents, wherever required on case to case basis." In case the investor is a minor, the bank account details for redemption purpose should be of the minor i.e. the minor should be an account holder in the bank account.</p> <p><b>PAYMENT OF REDEMPTION /INCOME DISTRIBUTION:</b></p> <p>In case of receipt of redemption request with new bank account there will be a cooling period of 10 calendar days for validation of new Bank mandate and dispatch of redemption proceeds shall be completed within 10 business days. In case the bank change request received along with the redemption request is invalid, then the change of bank will not be processed and redemption/income distribution proceeds, if any, will be processed as per the last registered Bank account with the Fund.</p> <p>In the case of NRIs, payments shall be:</p> <ol style="list-style-type: none"> <li>(i) Credited only to NRE account of the NRI investor where the payment for purchase of Units repurchased/ redeemed was made out of funds held in NRE account or</li> <li>(ii) Credited, at the NRI investor's option, to his/her NRO account, where the payment for the purchase of the Units repurchased /redeemed was made out of funds held in NRO account or</li> <li>(iii) Remitted abroad or at the NRI investor's option, credited to his/ its NRE/FCNR/NRO account, where the Units were purchased on repatriation basis and the payment for the purchase of Units repurchased / redeemed was made by inward remittance through normal banking channels or out of funds held in NRE/FCNR account.</li> </ol> <p>Investors are requested to provide the following details along with the mandatory requirement of bank account details (bank, branch address, and account type and account no.) in the application form for electronic fund transfer (EFT) of income distribution / redemption amount to the unit holders bank account. Quantum AMC will automatically extend this facility to all unit holders in case the bank account as communicated by the unit holder is with any of the bank providing EFT facility.</p> |

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

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

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

Systematic Investment Plan (SIP) - SIP facility is available only in respect of income distribution payments and not in the case of Redemption of Units. Based on the bank particulars, investors will receive a direct credit of the amount due to them in their notified account with intimation to the unit holder.

## 11. Mode Of Payment

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

|  | EXISTING INVESTOR   | NEW INVESTOR        |
|--|---------------------|---------------------|
| Bank Name  | HDFC Bank           | HDFC Bank           |
| Bank A/c Type  | Current A/C         | Current A/C         |
| Beneficiary Account Number (QUANTUM and Folio no./PAN no.) | QUANTUM1234567      | QUANTUMABCDE1234F   |
| Beneficiary Name   | QUANTUM MUTUAL FUND | QUANTUM MUTUAL FUND |
| Branch Address   | Sandoz Branch       | Sandoz Branch       |
| IFSC Code  | HDFC0000240         | HDFC0000240         |

- ii. After completing the fund transfer through RTGS / NEFT / IMPS 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 alongwith the application form.



11 B. Payment through Direct Credit (DC):

- i. For purchase through DC, the investor needs to first complete the fund transfer formalities with the Bank. Please note the Quantum Mutual Fund account details for Direct Credit: (HDFC Bank Investors)

|  | EXISTING INVESTOR   | NEW INVESTOR        |
|--|---------------------|---------------------|
| Bank Name  | HDFC Bank           | HDFC Bank           |
| Bank A/c Type  | Current A/C         | Current A/C         |
| Beneficiary Account Number (QUANTUM and Folio no./PAN no.) | QUANTUM1234567      | QUANTUMABCDE1234F   |
| Beneficiary Name   | QUANTUM MUTUAL FUND | QUANTUM MUTUAL FUND |
| Branch Address   | Sandoz Branch       | Sandoz Branch       |
| IFSC Code  | HDFC0000240         | HDFC0000240         |

- ii. After completing the fund transfer through Direct Credit 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.

**Direct Credit Account Details: (Other Bank Investors)**

| Bank Name      | Axis Bank LTD                      | YES Bank                           | State Bank of India        | Kotak Mahindra Bank                    | ICICI Bank                         | IDBI Bank                          |
|----------------|------------------------------------|------------------------------------|----------------------------|--|------------------------------------|------------------------------------|
| Bank A/c Type  | Current A/C                        | Current A/C                        | Current A/C                | Current A/C                            | Current A/C                        | Current A/C                        |
| Account Number | 233010200008204                    | 000485700000293                    | 34175547847                | 3511536785                             | 000405033543                       | 004102000028158                    |
| Account Name   | Quantum Mutual Fund Collection A/C | Quantum Mutual Fund Collection A/C | Quantum Mutual Fund        | Quantum Mutual Fund                    | Quantum Mutual Fund Collection A/c | Quantum Mutual Fund Collection A/c |
| Branch Address | Nariman Point                      | Mittal Chamber Nariman Point       | Dalal House, Nariman Point | Kismet Building, Colaba, Mumbai 400005 | Free Press Marg, Nariman Point     | Mittal Court Nariman Point         |
| IFSC Code      | UTIB0000173                        | YESB0000004                        | SBIN0006945                | KKBK0000648                            | ICIC0000004                        | IBKL0000004                        |

**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 | FPI# |
|---|------------|-----|-----------------|-----------|-------------------|------------------------|--------|-----|--------|-----|------|
| 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.

- iv. 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.

## 12. Nomination Details

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

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

## 13. Demat Account

Unit holders who have provided the Demat Account details will be issued units in demat form on request. 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.

Investor can hold the Units in demat form by selecting the relevant option of Yes/No - for opting or not opting for Units in demat form. If no option is exercised, the default option will be "No". Investors have to ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant. If the details mentioned in the application are incomplete/incorrect, not matching with the Depository data, then Units will be issued in Physical mode and Statement of Account will be issued to the Unit holder.

Investor have to ensure that the bank a/c through which the investment is being done matches with the bank a/c details in the demat account, otherwise the application is liable to be rejected. In case of holding in demat account the bank mandate, mode of holding, nominee details, contact details etc. will be as per the details stated in the demat account and not as per this application.

In case an investor desires to redeem, the dematerialized units have to be converted into physical form (represented by statement of account issued by Quantum AMC) by submitting an application for Re-materialization of units to the Depository Participant, in such case application for redemption would be considered on the date when physical redemption slip is provided duly signed to the Quantum AMC. As an alternative, redemption request can be placed through Depository Participants and Exchanges specified intermediaries where NSE MFSS/ BSE StAR platform is available for trading of Mutual Fund Units.

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

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

## 14. List Of Attachments

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

## 15. SMILE Facility

1. SMILE facility enables an investor; basis a consent option; to contribute some percentage of his/her Investment in the schemes of Quantum Mutual Fund towards a charitable cause to any two NGO's (maximum).
2. Please fill this form in ENGLISH in Black/Dark colored ink in capital letters.
3. It can be availed by investors having their investments in non-demat mode only.
4. Application form to be signed as per mode of holding registered in the folio.
5. All fields mentioned in the form are mandatory.
6. Who Can Opt for the Facility:
  1. Resident
  2. HUF
  3. Companies / LLP
  4. Societies
  5. Partnership Firm
  6. Trusts
  7. NRI with terms and conditions as mentioned below

Resident / Non Resident Indian holding foreign citizenship can opt for SMILE Facility on any date through Investor Advised Option. However, contribution to NGOs can be done either on the investors getting their Indian Citizenship or on receipt of FCRA approval by HYNCO which is currently in the process for approval with the Ministry of Home Affairs.
7. Eligible Schemes:
 

Quantum Long Term Equity Value Fund, Quantum Equity Fund of Funds, Quantum India ESG Equity Fund, Quantum Dynamic Bond Fund, Quantum Multi Asset Fund, Quantum Gold Savings Fund and Quantum Liquid Fund.
8. Smile facility is available only for Growth Option.
9. Tagging of Folio to SMILE:
 

Investor needs to mention the Folio Number and Scheme in case of multiple schemes in a folio in the application form which will be tagged for SMILE facility from which selected contribution will be made to HYNCO Foundation. Investor can give request for tagging or un-tagging of the folio chosen for SMILE.
10. NGO Selections for SMILE Contribution:
  1. HelpYourNGO Foundation
  2. Sree Guruvayurappan Bhajan Samaj Trust - Unnati
  3. CanSupport
  4. Vidya Poshak
  5. Fight Hunger Foundation
  6. Parinaam Foundation
  7. Make-A-Wish Foundation of India

For more details on the NGO's and SMILE facility kindly visit [www.QuantumMF.com/FAQ.aspx](http://www.QuantumMF.com/FAQ.aspx) and select SMILE facility in the drop down
11. Annual Contribution to NGO:
  - 1) 10% of the contribution from the holding of the investor under the folio tagged for SMILE at the end of each year ended September 30 shall be made by way of automatic redemption of units. Please refer the detailed example below;
    - (a) Holding as on September 30, 2020 is Rs. 5,000 and the investor has selected an option of 10% of the Value.
    - (b) 10% of Rs 5,000 + load (if any) = Rs. 500 (will be deducted as partial redemption done automatically)
    - (c) 90% of Rs. 500 will be transferred towards Contributions and 10% of Rs.500 will be credited to the investor account.
  - 2) Investor to select from a list of 7 NGOs at the time of initial request.
  - 3) Minimum 1 and Maximum 2 NGO can be selected.
  - 4) If no NGO is/are selected then the contribution will be made to the HYNCO Foundation as General Donation.
  - 5) Investors to prescribe a percentage (%) of contribution to be distributed to each NGO in the form.
  - 6) Investors can change their NGOs and % of contribution any time. However, the amount will be distributed according to the latest request registered as on September 30.

#### 12. Investor Advised Contribution Option:

The Investor Advised option allows an investor to:

1. Contribute to any NGO of listed with HelpYourNGO on their website (<https://www.helpyourngo.com>), not just the NGOs mentioned in the list of NGOs mentioned above.
2. Redeem his/her units and contribute any amount anytime, not necessarily 10% of his/her holdings. The minimum contribution should be Rs 500/-
3. Currently investors can opt for Investor Advised option through offline option by submitting the SMILE facility form.
4. This option can be availed by all Resident Indians and NRIs – whether they are citizens of India or not.
5. The details of NGOs available for contribution are uploaded on the HYNGO India Private Limited website [www.helpyourngo.com](http://www.helpyourngo.com).
6. HYNGO Foundation will transfer 95% of the contribution received under 2(l)(4) and Investor Advised Option to respective NGOs and will retain 5% with it as General Donation to HYNGO Foundation.

#### Payout Process:

The amount contributed by investors will be transferred based on the investor's authority to the HelpYourNGO (HYNGO) Foundation's bank account within 10 Business Days from the end of the every year ended September 30 / redemption date selected by investor in case of Investor Advised. The HYNGO Foundation in turn will contribute the amounts to respective NGO(s). The Contribution 10% or Investor Advised will be done by way of redemption of units subject to exit load. The long term / short term capital gain tax as may be applicable depend on the nature of scheme and holding period of units.

#### 13. Transfer of Funds / Contribution to HYNGO Foundation, 80G Certificate and Reports:

Quantum AMC will transfer redemption amount based on the investor's authority to HYNGO Foundation, which in turn will issue 80G Certificate to the investor for the amount remitted.

HYNGO Foundation will then transfer 95% of funds to respective NGOs based on contribution option decided by the investors and will retain 5% of the funds as administrative and due diligence cost. HYNGO will procure a confirmation from the NGO that the donation amount has been received. HYNGO Foundation will update Reports on amount contributed through SMILE on HYNGO Foundation website [www.helpyourngo.com](http://www.helpyourngo.com).

#### 14. Non Individual Investors (except HUF) required to submit certificate from chartered accountant. Either in the format prescribed in Annexure A or Annexure B as may be applicable.

#### FATCA and CRS Details

Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information of your account with the relevant tax authority(ies). If you have any questions about your tax residency, please contact your tax advisor. Further if you are a Citizen or Resident or Green Card Holder or Tax Resident of a country other than India, please include all such countries in the tax resident country information field along with your Tax Identification Number or any other relevant reference ID/ Number. If there is any change in the information provided, kindly intimate the same to us within 30 days.



# COMMON APPLICATION FORM

(Continuous Offer of units at Applicable NAV)

6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021  
www.QuantumAMC.com

Application No: **QMFP**

## 1. INTERMEDIARY INFORMATION

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

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

## 2. EXISTING UNIT HOLDER INFORMATION (Please note that Applicant details & mode of holding will be as per existing Folio Number) (Refer Instruction No. 3)

Folio No.  Name of First Applicant

| 3.                               | *PAN/PEKRN (Refer Instruction no. 4A) please attach certified PAN copy | CKYC Details (KIN Number) |
|----------------------------------|--|---------------------------|
| 1 <sup>st</sup> Applicant /Minor |  |                           |
| 2 <sup>nd</sup> Applicant        |  |                           |
| 3 <sup>rd</sup> Applicant        |  |                           |
| Guardian                         |  |                           |
| POA Holder                       |  |                           |

## 4. \*APPLICANT INFORMATION (Refer Instruction No. 6) (TO BE FILLED IN BLOCK LETTERS)

Mode of Holding ☐ Single ☐ Joint ☐ Any one or survivor(s) (Default option in case of more than one applicant)

Name of Sole/ 1<sup>st</sup> Applicant ☐ Mr. ☐ Ms. ☐ M/s. ☐ Other  Please Specify

Date of Birth/Date of Incorporate  Proof of DOB (Incase of Minor) ☐ Birth Certificate ☐ School leaving Certificate ☐ Passport ☐ Other

Guardian/Authorised Person - (In case of Minor)/Authorised Person (In case of non individual applicant)

Relationship with Minor ☐ Father ☐ Mother ☐ Legal Guardian

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

Type of Guardian ☐ Natural Guardian ☐ Court Appointed guardian

If the sole/first applicant is differently abled; then please tick the prepered mode of communication: ☐ Email & SMS ☐ Voice ☐ Both

Relationship Proof (With specified Guardian) ☐ Birth Certificate ☐ Passport ☐ Other

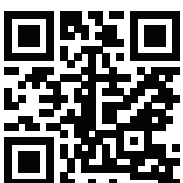
Address: Mailing Address of Sole/First Applicant (P.O Box alone may not be sufficient) This address will be replaced with the address as per your KYC records on validation of your KYC data. Overseas Investor must provide Indian Address

## ACKNOWLEDGEMENT SLIP (To be filled in by the investor)

Application No: **QMFP**

Quantum Mutual Fund - 6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021. www.QuantumMF.com

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



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

an application for allotment Scheme

vide Cheque No./RTGS /NEFT/IMPS Reference No.  Dated

Amount (₹)

Drawn on Bank and Branch

Collection Center's Stamp & Receipt Date and Time

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





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

POA Name Mr./Ms.

Address

City  Pin Code

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

**7. \*BANK ACCOUNT DETAILS** (Refer Instruction No. 10)

A/c Type [please ✓] ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR

Bank Name  IFSC  MICR Code

Account No  Branch  City  Pin Code

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

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

**8. \*INVESTMENT DETAILS** (Please ✓) Choice of Scheme/Option/Facility (Refer Instruction No. 2)

Scheme

Plan ☐ Direct ☐ Regular

Option

Transfer of Income Distribution to Scheme  
(Available only if invested scheme has Payout of Monthly IDCW Option/ Facility)

**9. \*PAYMENT DETAILS** (Refer Instruction No. 11)

Mode of Payment ☐ Cheque ☐ RTGS/NEFT ☐ IMPS ☐ Transfer Letter/Direct Credit (DC) ☐ DD

Cheque No./ RTGS/NEFT/IMPS/DC/DD Ref. No.  Date

Gross Amt (₹)  DD Charges (₹)  Net Amt (₹)

Bank/Branch & City

Account Type ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR

**10. \*FATCA and CRS Details for Individuals** (Including Sole Proprietor) (Mandatory)

The below information is required for all applicants/guardian

| Category                           | 1 <sup>st</sup> Applicant / Guardian | 2 <sup>nd</sup> Applicant | 3 <sup>rd</sup> Applicant |
|------------------------------------|--------------------------------------|---------------------------|---------------------------|
| Place/City of Birth                |                                      |                           |                           |
| Country of Birth                   |                                      |                           |                           |
| Country of Citizenship/Nationality |                                      |                           |                           |

Is your Tax Residency/Country of Birth/Citizenship/Nationality other than India? ☐ Yes ☐ No (Please ✓)

If yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below. In case of POA, the POA holder should mandatorily fill Annexure I for complete details.

| Category                           | 1 <sup>st</sup> Applicant / Guardian | 2 <sup>nd</sup> Applicant | 3 <sup>rd</sup> Applicant |
|------------------------------------|--------------------------------------|---------------------------|---------------------------|
| Country of Citizenship/Nationality |                                      |                           |                           |
| Tax Payer Reference ID No. 1       |                                      |                           |                           |
| Country of Tax Residency 2         |                                      |                           |                           |
| Tax Payer Reference ID No. 2       |                                      |                           |                           |

**11. \*NOMINATION DETAILS** (Refer instruction no. 12)

☐ I do not wish to Nominate

|   | 1 <sup>st</sup> Nominee  | 2 <sup>nd</sup> Nominee  | 3 <sup>rd</sup> Nominee  |
|---|--|--|--|
| Name (as in PAN card/KYC records)             |  |  |  |
| PAN   |  |  |  |
| Date of Birth                                 | D D M M Y Y Y Y  | D D M M Y Y Y Y  | D D M M Y Y Y Y  |
| Relationship with Investor                    |  |  |  |
| Address                                       |  |  |  |
| Guardian Name<br>(in case Nominee is a Minor) | <input type="checkbox"/> Father <input type="checkbox"/> Mother<br><input type="checkbox"/> Legal Guardian | <input type="checkbox"/> Father <input type="checkbox"/> Mother<br><input type="checkbox"/> Legal Guardian | <input type="checkbox"/> Father <input type="checkbox"/> Mother<br><input type="checkbox"/> Legal Guardian |

|                                 |  |  |  |
|---------------------------------|--|--|--|
| Type of Guardian                | <input type="checkbox"/> Natural Guardian<br><input type="checkbox"/> Court Appointed guardian | <input type="checkbox"/> Natural Guardian<br><input type="checkbox"/> Court Appointed guardian | <input type="checkbox"/> Natural Guardian<br><input type="checkbox"/> Court Appointed guardian |
| Allocation % (Total to be 100%) |  |  |  |

## 12. DEMAT ACCOUNT DETAILS

(Please ✓) (Please refer Instruction no. 13)

☐ NSDL ☐ CDSL

(On unit conversion into dematerialized form, switch will not be allowed for redemption of units in NSDL demat folios, please apply through Stock Exchange / Depository Participant (DP) only)

I would like to be allotted units in DEMAT mode. ☐ Yes ☐ 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 | <input type="text"/> | BENEFICIARY Account No. (NSDL Only) | <input type="text"/> |
| CDSL | <input type="text"/> |                                     |                      |

Enclose for Demat Option: ☐ Client Master List ☐ Transaction/Holding Statement ☐ DIS Copy

## 13. SMILE Facility (Please refer Instruction no. 15)

Opt for SMILE Facility ☐ Yes ☐ No Contribution to SMILE Facility (For Indian Citizens Only\*): ☐ 10% OR ☐ Investor Advised

Contribution to SMILE Facility (For Other Citizens\*): ☐ Investor Advised

|           | NGO Name | Distribution Share to each NGO (%) |
|-----------|----------|------------------------------------|
| NGO1 Name |          |                                    |
| NGO2 Name |          |                                    |
| TOTAL     |          | 100%                               |

\*Note: Resident/Non Resident Indian holding foreign citizenship can opt for SMILE Facility on any date through Investor Advised Option. However, contribution to NGOs can be done either on the investors getting their Indian Citizenship or on receipt of FCRA approval by HYNGO Foundation which is currently in the process for approval with the Ministry of Home Affairs.

## 14. SOURCE OF INFORMATION

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

Name & ARN Code of Intermediary \_\_\_\_\_ Others \_\_\_\_\_

## 15. PHYSICAL COPY OF ANNUAL REPORT

☐ Opt In to receive the physical copy of Annual Report

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

### CHECK LIST: Please ensure the following:

Application form is complete in all respects and signed by all Applicants.

Enclosures:

- ☐ Supporting documents for bank account details furnished in the Form.
- ☐ For payment by Demand Draft - a certificate from the banker in the prescribed format confirming the account from which the funds have been remitted.
- ☐ Proof of KYC for all applicants, guardians for minors and POA.
- ☐ Non Individuals: UBO Declaration (if applicable) & FATCA form.

### Enclosures (if applicable)

- ☐ Proof of relationship with minor.
- ☐ Proof of identity & address.
- ☐ Proof of DOB.
- ☐ Multiple bank registration form.
- ☐ Client Master list/DP statement.
- ☐ SIP Form.

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

 **Website** : [www.QuantumAMC.com](http://www.QuantumAMC.com)

 **Email** : [CustomerCare@QuantumAMC.com](mailto:CustomerCare@QuantumAMC.com)

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

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

 **Missed Call Facility** : 022 6829 3807

**DECLARATION:**

I/We have read and understood the terms & contents of the Scheme Information Document(s) and Key Information Memorandum(s) of the respective scheme(s) and Statement of Additional Information and Addenda thereto and I / we have taken the decisions of investing based on my / our investment objectives and risk appetite. I/We hereby apply to the Trustee of Quantum Mutual Fund for allotment of units of the scheme(s) as indicated above. I / we am / are authorized to invest the amount which 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, constitutional documents. I / We have not received nor have been induced by any rebate or gifts, directly or indirectly for making this investment(s). I / we hereby opting for Transactions Through Electronic Mode shall agree, acknowledges and accepts the terms and conditions for Transactions Through Electronic Mode as stated in the Offer Documents and on the AMC Website. I / We authorise the AMC to source / disclose data / documents / information including specimen signature from third parties / intermediaries / KRA for verification / validation of my/our transactions. I / We authorize the AMC to verify and validate my / our registered bank accounts through its services provider including verification and validation by way of crediting a token amount to the registered bank account(s). I / We authorize the AMC to disclose, remit, share above information in any form or manner to its agents, service providers, SEBI registered intermediaries, Indian or foreign statutory / regulatory authorities. I/ We authorize the AMC to refund the excess amount of investment in the scheme to bring my / our investment below 25% of corpus of the Scheme. I / We agree to receive the income distribution/redemption amount to the bank details mentioned in the application form and / or to the bank account linked to AADHAAR. I / We am / are not prohibited from accessing capital markets under any order/ ruling / judgments etc. of any Regulations including those of SEBI. I / We hereby confirm that, I / we have not been offered / communicated any indicative portfolio and / or any indicative yield for this investment. The ARN Holder has disclosed to me/ us all the commissions (in the form of trail commission or any other mode), payable to him for different competing schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I / We acknowledge that the AMC / Trustees have the right to reject my / our application in accordance with the provisions of the offer documents. I / We shall be liable and responsible for any loss, claim suffered, directly or indirectly by the AMC / Fund / RTA arising out of any false, misleading, inaccurate, incomplete information furnished by me / us at the time of investing / redeeming the units and indemnify and at all time keep indemnified, save and harmless the AMC / Fund/ Trustee and their officers, directors, employees against all actions, proceedings, claims, losses, damages, charges and expenses incurred or suffered / paid by the AMC / Fund / Trustees.

**Applicable to NRI only:** I/We hereby confirm that I / we are Non Resident Indian(s) but not a person(s) residing in Canada or United State of America or not compliant FATF country or territory nor a "US Person" under US Securities Act, 1933 as amended from time to time and Candian persons and not residing in USA at the time of submitting the application. I / We hereby confirm that funds for investments have been remitted from abroad through normal banking channels or from funds in my / our Non Resident External / Ordinary Account / FCNR Account.

**Applicable to SMILE Facility:** I/We have read and understood the contents of the Statement of Additional Information/Scheme Information Document/Key Information Memorandum of the Scheme, addenda issued till date, terms and conditions of the SMILE Facility and abide by that. I / We hereby authorize the Trustee of Quantum AMC / Quantum Mutual Fund for redemption of units/amount as per the terms and conditions of SMILE Facility and transfer / donate such redemption amount to the HYNGO Foundation Bank Account who, in turn, will transfer / donate such redemption amount to respective Non- Governmental Organizations (NGOs) as selected in the form. Quantum AMC / Quantum Mutual Fund shall not be held responsible or liable in any manner whatsoever for making such donations on my/our behalf to HYNGO Foundation and then in turn by HYNGO Foundation to the respective NGOs.

**Applicable for Non – Individual Investors:** We are the entity formed and registered in India and does not receive foreign contribution / we are the entity formed and registered in India, receiving foreign contribution but the investments in the SMILE Facility is using Local Funds and not from the organization's FCRA Bank Account.

Signature(s)

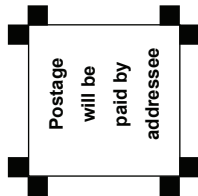
Date

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

Place \_\_\_\_\_

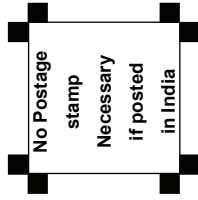
|  |  |  |               |
|--|--|--|---------------|
| Sole/1 <sup>st</sup> Applicant/Guardian/Authorised Signatory | 2 <sup>nd</sup> Applicant / Authorised Signatory | 3 <sup>rd</sup> Applicant / Authorised Signatory | POA Signatory |
|--|--|--|---------------|

1<sup>st</sup> fold



**BUSINESS REPLY ENVELOPE**

**B.R. PERMIT NO. MBI - S - 1535**  
**Nariman point post office mumbai - 400021**



3<sup>rd</sup> fold

To,

**Quantum Asset Management Company Pvt Ltd.**  
6<sup>th</sup> floor, Hoechst House,  
Nariman Point, Mumbai - 400 021

4<sup>th</sup> fold



**Instructions :**

2<sup>nd</sup> fold



- Please use this page to make a business reply envelope for enclosing forms & / or cheque that needs to be sent to Quantum Asset Management Company Pvt Ltd.
- Please fold the envelope along the lines as per the numbering mentioned.
- Please insert the documents before the 4th numbered fold and post insertion of documents, the 4th fold needs to be done.
- Envelope to be properly sealed and dropped in any of your nearest post box.
- The stamp charges will be borne by Quantum Asset Management Company Pvt Ltd.



# ONE TIME MANDATE FORM

6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021  
www.QuantumAMC.com

|                     |                                     |   |   |  |  |  |  |  |  |  |  |            |   |                   |  |   |   |   |  |            |  |   |  |  |  |
|---------------------|-------------------------------------|---|---|--|--|--|--|--|--|--|--|------------|---|-------------------|--|---|---|---|--|------------|--|---|--|--|--|
| Tick                | <input checked="" type="checkbox"/> | UMRN  |   |  |  |  |  |  |  |  |  |            | <div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>               |                   |  |   |   |   |  |            |  |   |  |  |  |
| Create:             | <input type="checkbox"/>            | Sponsor Bank Code   | (Office use only)   |  |  |  |  |  |  |  |  |            | Utility Code  | (Office use only) |  |   |   |   |  |            |  |   |  |  |  |
| Modify:             | <input type="checkbox"/>            | I/We hereby authorize <u>QUANTUM MUTUAL FUND</u> to debit (Tick ✓) <span>SB/ CA/ CC/ SB-NRE / SB-NRO/ Other</span>  |   |  |  |  |  |  |  |  |  |            |   |                   |  |   |   |   |  |            |  |   |  |  |  |
| Cancel:             | <input type="checkbox"/>            | From Bank A/C Number:   | <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> |  |  |  |  |  |  |  |  |            |   |                   |  |   |   |   |  |            |  |   |  |  |  |
| With                |                                     | (Name of Destination Bank with Branch)  |   |  |  |  |  |  |  |  |  | IFSC Code: | <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> |                   |  |   | MICR Code:  | <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> |  |            |  |   |  |  |  |
| an amount of Rupees |                                     | (in words)  |   |  |  |  |  |  |  |  |  |            |   |                   |  | ₹ | <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> |   |  |            |  |   |  |  |  |
| FREQUENCY:          |                                     | <input checked="" type="checkbox"/> Mthly <input checked="" type="checkbox"/> Qtly <input checked="" type="checkbox"/> H-yrly <input checked="" type="checkbox"/> Yrly <input checked="" type="checkbox"/> As & when presented          |   |  |  |  |  |  |  |  |  |            |   |                   |  |   |   |   |  | DEBIT TYPE |  | <input checked="" type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount                       |  |  |  |
| Folio No.           |                                     | <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> |   |  |  |  |  |  |  |  |  |            |   |                   |  |   |   |   |  | Phone No.  |  | <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> |  |  |  |
| Schemes             |                                     | <div><div>ALL SCHEMES OF QUANTUM MUTUAL FUND</div></div>  |   |  |  |  |  |  |  |  |  |            |   |                   |  |   |   |   |  | Email ID   |  | <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> |  |  |  |

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

PERIOD From 

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 To 

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Y

Y

 Or ☐ Until Cancelled

• This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/corporate to debit my account, based on the instruction as agreed and signed by me.

• I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the user entity / corporate or the bank where I have authorized the debit.

|   |                                 |   |                                 |   |                                 |
|---|---------------------------------|---|---------------------------------|---|---------------------------------|
| 1 | Signature of 1st Account Holder | 2 | Signature of 2nd Account Holder | 3 | Signature of 3rd Account Holder |
|   | Name as in bank records         |   | Name as in bank records         |   | Name as in bank records         |



# SYSTEMATIC INVESTMENT PLAN AUTO DEBIT MANDATE FORM

6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021  
www.QuantumAMC.com

Please fill this form in ENGLISH in BLACK/DARK COLOURED INK in CAPITAL LETTERS.

☐ New Registration ☐ Micro SIP ☐ Cancellation of SIP

(New Investors to submit duly filled and signed Common Application Form)

## INTERMEDIARY INFORMATION

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

## INVESTOR DETAILS

Folio/Application No.

PAN No\*.

Sole/First Investor Name:

## INVESTMENT DETAILS (Please ✓) Choice of Scheme / Option / Facility

|          |  |
|----------|--|
| Scheme   |  |
| Option   |  |
| Facility |  |

## Frequency Details (Please ✓)

| <input type="checkbox"/> Daily | <input type="checkbox"/> Weekly    | <input type="checkbox"/> Fortnightly                                   | <input type="checkbox"/> Monthly                           | <input type="checkbox"/> Quarterly   |
|--------------------------------|------------------------------------|--|--|--|
| All Business Days              | 7th, 15th, 21st,<br>28th of a week | <input type="radio"/> 5th, 21st OR<br><input type="radio"/> 7th & 25th | <input type="radio"/> 5th OR<br><input type="radio"/> 21st | <input type="radio"/> 7th OR<br><input type="radio"/> 25th OR<br><input type="radio"/> 15th OR<br><input type="radio"/> 28th |

No of Installments:  SIP Start Date  SIP End Date  Cheque No.

Amount Per Installment:  Amount (in words)

I/We hereby authorize Quantum Mutual Fund and their authorized service providers to debit my/our following bank account by SIP (Debit clearing/ Auto Debit) for collection of SIP payments

Note: Please allow 21 business days for Auto Debit to register and start.\* Only monthly and quarterly SIP frequencies are available for Quantum Liquid Fund

Bank Name

Bank Account No.

I/We wish to inform you that I/We have registered with Quantum Mutual Fund through their Authorized Service Provider(s) and representative for my/our payment to Quantum Mutual Fund by debit to my/our above mentioned bank account. For this purpose I/We authorize their Service Provider(s) and the representative to raise debit on my/our above mentioned account with your branch. I/We here by authorize you to honor all such requests received through their authorized Service Provider(s) and representative to debit my/our account with the amount requested, for due remittance of the proceeds to Quantum Mutual Fund. I/We undertake to keep sufficient funds in the funding account on the date of execution of standing instruction. I/We here by declare that the particulars given above are correct and complete. If the transactions is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Quantum Mutual Fund or their authorized Service Provider(s) and representative responsible. If the date of debit to my/our account happens to be a non-business day as per Mutual Fund or a Bank holiday, execution of the SIP will happen on the next working day and allotment of units will happen as per the Terms and Conditions listed in Scheme Information Document (SID) and Statement of Additional Information (SAI) of the Mutual Fund. The above mentioned bank shall not be liable for, nor be in default by reason of any failure or delay in completion of this service, where such failure or delay is caused in whole or in part by any acts of God, civil war, civil commotion, riot, strike, mutiny, revolution, fire, flood, fog, war, lightning, earthquake, change of government policies, unavailability of banks computer system, force majeure event or any other cause of peril which is beyond the above mentioned banks reasonable control and which has the effect of preventing the performance of this service by the above-mentioned bank. I/We shall not dispute or challenge any debit, raised under this mandate, on any ground whatsoever. I/We shall not have any claim against the bank in respect of the amount so debited pursuant to the mandate submitted by me/us. I/We shall keep the bank and authorized Service Provider(s) and representative jointly and or severally indemnified from time to time, against all claims, actions, suits, for any loss, damage, costs, charges and the expenses incurred by the bank and authorized Service Provider(s) and representative, by reason of their acting upon the instructions issued by the above named authorized signatories/ beneficiaries. This request for debit mandate is valid and may be revoked only through written letter withdrawing the mandate signed by the authorized signatories/beneficiaries and giving reasonable notice to such withdrawals. I/We here by apply for the respective units of Quantum Mutual Fund Scheme(s) at NAV based the resale price an agree to abide by terms, conditions, rules and regulations of Scheme(s). I/we hereby authorize bank to debit my account for mandate verification charges, if any.

|  |   |  |
|--|---|--|
| First Account Holders Signature<br>(As per bank records) | Second Account Holders Signature<br>(As per bank records) | Third Account Holders Signature<br>(As per bank records) |
|--|---|--|



## Declaration

I/We hereby declare that the particulars given on this mandate are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the utility/service provider/participating Banks/Mutual Fund responsible. I/We have read the T&C and agree to discharge the responsibility expected of me/us as a participant/s under the scheme. I/We authorize use of above mentioned contact details for the purpose of this specific mandate instruction processing. I/We hereby confirm adherence to terms on this mandate. I/ we hereby authorize the fund to utilize this form for transactions through Email / SMS / Fax/ Phone or any other electronic means.

## Instructions to fill Mandate

All fields in the form are mandatory to be filled

1. Date in DD/MM/YYYY format.
2. Tick on box to select type of action to be initiated.
3. Tick on box to select type of account to be affected.
4. Customer's bank account number, left padded with zeroes. (Maximum length - 20 Alpha Numeric Characters)
5. Name of bank and branch.
6. IFSC / MICR code of customer bank. (Maximum length - 11 Alpha Numeric Characters)
7. Amount payable for service or maximum amount per transaction that needs to be processed, in words.
8. Amount in figures, similar to the amount mentioned in words as per point 7 above.
9. Tick on box to select frequency of transaction.
10. Validity of mandate with dates in DD/MM/YYYY format.
11. Names of customer/s and signatures as well as seal of company (where required). (Maximum length of Name - 40 Alpha Numeric Characters)
12. Undertaking by customer.
13. 10 digit mobile number of customer. Mail ID of customer.
14. You can Tick on 'Until Cancelled' incase you do not wish to mention the 'To Date'.

## SIP/AUTO DEBIT MANDATE FORM TERMS & CONDITIONS

1. Complete Common Application form and SIP Auto Debit Mandate Form and One Time Mandate Form along with the first cheque should be submitted to the AMC / K-Fin Technologies Collection Centers.
2. New investors should mandatorily give a cheque for the first Installment. The first cheque should be drawn on the same bank account which is to be registered for NACH. Alternatively, the cheque may be drawn on any bank, for which investor should provide a photocopy of the cheque or cancelled cheque of the bank/ branch for which NACH is to be registered.
3. First SIP cheque and subsequent SIP installments via NACH should be of the same amount.
4. Employee Unique Identification Number (EUID) - Investor investing through Intermediary shall mandatorily mention the EUID on the application form, irrespective whether he/she has been advised by Sales person/ Employee/ Relationship manager of the Intermediary or not. However, in case of any exception cases, where there is no interaction by Sales person / Employee / Relationship manager of the intermediary with respect to the investment / transaction, the EUID box may be left blank. If left blank, AMC will seek the following declaration separately from the investor, "I/We hereby confirm that the EUID 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." It is mandatory to obtain EUID for every Sales person / Employee / Relationship manager of the Intermediary for dealing (irrespective whether transactions are in the nature of execution or advisory) in mutual fund products.
5. SIP instructions will take a minimum of 21 Business days for registration with the bank and hence the first auto debit will be carried out only after one month, on the SIP date mentioned on the form. The AMC reserves the right to modify the SIP period depending on the one month period for registration to ensure minimum number of installments as mentioned in Scheme Information Document (SID)
6. The cities mentioned above may be modified/ updated/ changed/ removed at any time in future at the discretion of the AMC without assigning any reasons or prior notice. If any city, bank/branch is removed, SIP instructions for investors in such cities, bank/branch via SIP route will be discontinued without prior notice.
7. The SIP Enrollment will be discontinued in cases where Two consecutive SIP installments are not honored or the bank account is closed and no request for change in bank account has been submitted.
8. Request for cancellation should be submitted 15 business days prior to the next SIP date.
9. Request for change in bank mandate to be submitted atleast 21 calendar days before the due date of next SIP installment.
10. The bank account provided for SIP (Debit) should participate in local MICR Clearing.
11. MICR code starting and / or ending with 000 are not valid for SIP
12. The investor agrees to abide by the terms and conditions of SIP facility of the Reserve Bank of India (RBI) as applicable at the time of investment and as may be modified from time to time.
13. The investor undertakes to keep sufficient funds in the account till the date of execution of the debit. The investor hereby declares that the particulars given overleaf are correct and complete. If the date of debit to the investors account happens to be a non Business day as per the fund, execution of the debit will not happen on the day of the holiday and allotment of Units will happen as per the terms and conditions listed in the concerned Scheme Information Document (SID). The Fund, its Registrars, Auto Debit Banks and other service providers shall not be liable for, nor be in default by reason of, any failure or delay in completion of its obligation under this agreement, where such failure or delay is caused, in whole or in part, by any acts of God, civil war, civil commotion, riots, strike, mutiny, revolution, fire, flood, fog, war, change of government policies, unavailability of banks computer system, force majeure events or any other cause of peril which is beyond their reasonable control and which has the effect of preventing the performance of contract by them.
14. Investors will not hold Quantum AMC, its registrars, banks and other service providers responsible if the transaction is delayed or not effected or the investor's bank account is debited in advance or after the specific SIP date or if 2-3 consecutive SIP installments are debited by your bank in a day due to the local holidays or any other reason.
15. Quantum AMC reserves the right to reject any application without assigning any reason thereof.
16. Please refer SID for minimum SIP investment amount under each schemes.
17. Please refer the Key Information Memorandum (KIM) and SID of the respective scheme for applicable NAV, risk factors, load (exit/entry) and other information on the respective scheme before investing.
18. If an investor does not mention SIP Frequency and/or SIP date in the application form or multiple SIP frequency/dates are mentioned in the SIP Mandate or the details are unclear in the SIP form, the default SIP frequency shall be treated as monthly and the default SIP date will be considered as 5th. In case of fortnightly SIP frequency, default date will be considered as 5th and 21st of the month. If an investor does not mention SIP start date or the SIP start date is unclear in the SIP form, the SIP date will by default start from the next subsequent month after meeting the minimum registration requirement of 21 calendar days. If an investor does not mention SIP end date or the SIP end date is unclear in the SIP form, the tenure of SIP will be treated as perpetual (subject to bank's acceptance) till instruction to the contrary is received from the investor. In case the investor does not provide both the start date as well as end date, then the SIP installment would be the minimum number of installments of the respective scheme as mentioned in the respective Scheme Information Document (SID). "Perpetual SIP" will be the default option incase end date for enrolment period is not provided.

In case an investor, who has opted for Perpetual SIP, subsequently intends to discontinue the same, a written communication thereof will be required to be furnished.

19. Incorrect, incomplete or ambiguous forms will not be accepted and will be returned to the investor within 10 business days via normal post.

20. To avail of SIP in separate schemes/options via Direct Debit/SIP facility, an investor will have to fill a separate form for each scheme/ options. A single form cannot be used for different schemes simultaneously.

21. For modification/change in SIP amount, New SIP Auto debit mandate form with revised SIP amount alongwith letter to discontinue the existing SIP amount to be submitted 15 business days prior to the Installment date.

22. If an investor gives a request for change in bank mandate of the same amount as that of the existing SIP amount in the same folio, the existing SIP will be discontinued and only the new SIP containing new bank details will be considered. But if an investor gives a request for change in bank mandate with different SIP amount both the new SIP as well as the existing SIP would continue.

23. In case of investments in the name of a minor, no new transactions / standing instructions / SIP / STP / SWP or cancellation of such requests will be allowed by the guardian from the date of minor attaining majority till instruction from the major is received by the AMC/Mutual Fund along with the prescribed documents for change of account status from minor to major.

24. The allotment of units in case of SIP in all Schemes of Quantum Mutual Fund will be based on realization and utilization of funds only.

25. In case an investor gives full/partial redemption request in a folio where there is an on-going SIP, then redemption will be processed only for the units towards which the amount has been realized.

26. In case of weekly and fortnightly frequencies there are restrictions on the dates to be selected due to operational constraints

#### **Additional instructions for Micro Systematic Investment Plan (MSIP)**

1. Micro SIP (Systematic Investment Plan) upto ₹50,000 per year per investor shall be exempted from the requirement of PAN.

2. In case of Micro SIP also KYC is mandatory w.e.f. 1st January, 2012.

3. In lieu of PAN card copy Investor (including joint holders) to provide the self attested valid Photo ID Proof. Please refer Point 6 below.

4. All Micro SIPs where aggregate of installments in a financial year i.e. April to March does not exceed ₹50,000.

5. This exemption will be applicable only investments by individuals (including NRIs but not PIOs),

Minors and Sole proprietary firms. HUFs and other categories will not be eligible for Micro SIPs.

The exemption is applicable to joint holders also.

6. While making additional/subsequent Micro SIP investment, investor can quote the existing folio number where a Micro SIP has been registered and therefore need not resubmit the supporting documents again.

7. Photo identification documents to be submitted in case of Micro SIP Voter Identity Card, Driving License, Government / Defense identification card, Passport, Photo Ration Card, Photo Debit Card (Credit card will not be accepted), Employee ID cards issued by companies registered with Registrar of Companies, Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament, ID card issued to employees of Scheduled Commercial / State / District Cooperative Banks, Senior Citizen / Freedom Fighter ID card issued by Government, Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI, Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL), Any other photo ID card issued by Central Government / State Governments /Municipal authorities / Government organizations like ESIC / EPFO.

8. Proof of address copy. It is clarified that where photo identification documents contain the address of the investor, a separate proof of address is not required.



# SYSTEMATIC TRANSACTION FORM

(PDC SIP/STP/SWP)

6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021  
www.QuantumAMC.com

Please fill this form in ENGLISH in BLACK/DARK COLOURED INK in CAPITAL LETTERS.

## 1. INTERMEDIARY INFORMATION

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

Please refer instruction No. 4 for EUIN. Please read the instructions carefully, before filling up the application. Fields marked with (\*) are mandatory.

New Registration ☐

Cancellation ☐

## 2. NEW / EXISTING UNIT HOLDER INFORMATION

Folio/Application No.

PAN No.

Name of the Sole/1st Applicant:

## 3. SCHEME DETAILS (Please ✓)

|          |  |
|----------|--|
| Scheme   |  |
| Option   |  |
| Facility |  |

## 4. Frequency Details (Please ✓)

| <input type="checkbox"/> Daily | <input type="checkbox"/> Weekly    | <input type="checkbox"/> Fortnightly                                   | <input type="checkbox"/> Monthly                           | <input type="checkbox"/> Quarterly   |
|--------------------------------|------------------------------------|--|--|--|
| All Business Days              | 7th, 15th, 21st,<br>28th of a week | <input type="radio"/> 5th, 21st OR<br><input type="radio"/> 7th & 25th | <input type="radio"/> 5th OR<br><input type="radio"/> 21st | <input type="radio"/> 7th OR<br><input type="radio"/> 25th OR<br><input type="radio"/> 15th OR<br><input type="radio"/> 28th |

## 5. SYSTEMATIC INVESTMENT PLAN (SIP) DETAILS (Please ✓) ☐

Post Dated Cheque (PDC's) ☐

Regular SIP ☐

Change in Bank Mandate for existing SIP ☐

Micro SIP (MSIP) ☐

### Enrollment Details

No of Installments:  Amount Per Installment:

Amount (in words)

### 1st Installment Cheque Details

Cheque/DD  Date  Amount (Rs.)

Drawn on Bank & Branch

Photo Identification proof and Residential Proof number in case of Micro SIP of 1st Applicant \_\_\_\_\_

2nd Applicant \_\_\_\_\_ 3rd Applicant \_\_\_\_\_

Cheque Nos From  To

\*Only monthly & quarterly SIP frequencies are available for Quantum Liquid Fund.

## 6. SYSTEMATIC TRANSFER PLAN (STP) DETAILS (Please ✓) ☐

10 business days to register STP

To Scheme

Plan  Option

No of Installments:

Amount Per Installment:  Amount (in words)

## 10 business days to register SWP

[illegible]

|          |  |
|----------|--|
| Email ID |  |
|----------|--|

This Email ID belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian

[illegible]

This Mobile No. belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian

We have read and understood the terms and contents of Statement of Additional Information (SAI), Scheme Information Document (SID) of the scheme(s), I/We hereby apply to the Trustees of Quantum Mutual Fund for units of scheme(s) of Quantum Mutual Fund as indicated above and agree to abide by the terms, conditions, rules and regulations of the scheme (s). I/We hereby declare that the particulars given herein are correct and complete. I/We confirm that I/we have not received and will not receive any commission or brokerage or any other incentive in any form, directly or indirectly, for subscribing to units issued under any of the scheme(s). I/We hereby declare that the amount invested in the scheme(s) is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions of the provisions of Income Tax Act, 1961, Prevention of Money Laundering Act, 2002, Prevention of Corruption Act, 1988 or any other applicable laws enacted by the Government of India from time to time.

**For Micro SIP investors -** I/we hereby declare that the I/we do not have any existing Micro SIP's which together with current application will result in aggregate investments exceeding ₹50,000 in a financial year.

**For NRIs/FIIs only:** I/We confirm that I am/we are Non Residents of Indian Nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our Non-resident External Account/FCNR account/NRO/NRNR account/NRO/NRSR Account. (Including amount of transactions made in future)

|                           |                           |                           |
|---------------------------|---------------------------|---------------------------|
| 1 <sup>st</sup> Applicant | 2 <sup>nd</sup> Applicant | 3 <sup>rd</sup> Applicant |
|---------------------------|---------------------------|---------------------------|

To be sign by all Applicants if  
mode of holding is joint

To be sign by all Applicants if  
mode of holding is joint

To be sign by all Applicants if  
mode of holding is joint



# SYSTEMATIC TRANSACTION FORM

## TERMS & CONDITIONS

### General

1. Please refer to the Key Information Memorandum (KIM), Scheme Information Document (SID) of respective schemes and Statement of Additional Information (SAI) for Applicable NAV, Risk Factors, Load and other information of the Scheme before investing.
2. If any chosen day falls on a non business day, the next business day will be considered as the transaction date.
3. Incorrect / Incomplete applications are liable to be rejected.
4. Employee Unique Identification Number (EUIIN) - Investor investing through Intermediary shall mandatorily mention the EUIIN on the application form, irrespective whether he/she has been advised by Sales person/ Employee/ Relationship manager of the Intermediary or not. However, in case of any exception cases, where there is no interaction by Sales person / Employee / Relationship manager of the intermediary with respect to the investment / transaction, the EUIIN box may be left blank. If left blank, AMC will seek the following declaration separately from the investor, "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." It is mandatory to obtain EUIIN for every Sales person / Employee / Relationship manager of the Intermediary for dealing (irrespective whether transactions are in the nature of execution or advisory) in mutual fund products.
5. An Account statement will be dispatched within 10 business days for the first investment through SIP. Since Common Account statement (CAS) is dispatched to all the active investors every month, SIP transactions will be reflecting in the CAS. In case of specific request received from unit holder, Mutual Fund endeavor to provide the account statement within 5 business days from the receipt of such request without any charges.
6. For a new STP / SWP to start it will take minimum 10 calendar days.
7. Such request for discontinuation should be received at least 10 business days prior to the next due date of the SWP/STP and should be received at least 15 business days prior to the next due date of the SIP.
8. Quantum AMC reserves the right to reject any application without assigning any reason thereof and the Trustee reserves the right to change/modify the terms and conditions of SIP/SWP/STP
9. For mandatory requirements like Bank account details, Know Your Customer (KYC) and required documents please refer KIM/SID.
10. Transfer of IDCW Facility is possible only from Quantum Liquid Fund - Monthly IDCW Option and Quantum Dynamic Bond Fund – Payout of Monthly IDCW Option to any other scheme.
11. In case of an investor who was a minor, the minor on attaining majority has to submit all the necessary documents and complete all the formalities as mentioned in the SID to start or renew a SIP / STP / SWP.

### Installment options available under SIP/STP/SWP

|   |                          | SIP  |  |  |  |  |
|---|--------------------------|--|--|--|--|--|
|   |                          | Daily  | Weekly                                       | Fortnightly                                  | Monthly                                      | Quarterly                                    |
| Quantum Long Term Equity Value Fund/Quantum India ESG Equity Fund/Quantum Equity Fund of Fund/Quantum Gold Savings Fund/Quantum Multi Asset Fund/Quantum Dynamic Bond Fund/Quantum Nifty 50 ETF | Minimum SIP amount       | ₹100/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   |
|   | Minimum SIP Installments | 132  | 25   | 13   | 6  | 4  |
| Quantum Tax Saving Fund   | Minimum SIP amount       | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter |
|   | Minimum SIP Installments | 132  | 25   | 13   | 6  | 4  |
| Quantum Liquid Fund   | Minimum SIP amount       | -  |  |  | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   |
|   | Minimum SIP Installments | -  |  |  | 6  | 4  |

|   |                          | STP  |  |  |  |  |
|---|--------------------------|--|--|--|--|--|
|   |                          | Daily  | Weekly                                       | Fortnightly                                  | Monthly                                      | Quarterly                                    |
| Quantum Long Term Equity Value Fund/Quantum India ESG Equity Fund/Quantum Equity Fund of Fund/Quantum Gold Savings Fund/Quantum Multi Asset Fund/Quantum Dynamic Bond Fund/Quantum Nifty 50 ETF | Minimum STP amount       | ₹100/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   |
|   | Minimum STP Installments | 132  | 25   | 13   | 6  | 4  |
| Quantum Tax Saving Fund   | Minimum STP amount       | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter |
|   | Minimum STP Installments | 132  | 25   | 13   | 6  | 4  |
| Quantum Liquid Fund   | Minimum STP amount       | ₹100/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   |
|   | Minimum STP Installments | 132  | 25   | 13   | 6  | 4  |

|   |                          | SWP  |  |  |  |
|---|--------------------------|--|--|--|--|
|   |                          | Weekly                                       | Fortnightly                                  | Monthly                                      | Quarterly                                    |
| Quantum Long Term Equity Value Fund/Quantum India ESG Equity Fund/Quantum Equity Fund of Fund/Quantum Gold Savings Fund/Quantum Multi Asset Fund/Quantum Dynamic Bond Fund/Quantum Nifty 50 ETF | Minimum SWP amount       | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   |
|   | Minimum SWP Installments | 25   | 13   | 6  | 4  |
| Quantum Tax Saving Fund   | Minimum SWP amount       | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter | ₹500/- and in multiples of ₹500/- thereafter |
|   | Minimum SWP Installments | 25   | 13   | 6  | 4  |
| Quantum Liquid Fund   | Minimum SWP amount       | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   | ₹500/- and in multiples of ₹1/- thereafter   |
|   | Minimum SWP Installments | 25   | 13   | 6  | 4  |

Note: Minimum Balance to Start the STP/SWP is ₹5000/-

### Systematic Investment Plan (PDC)

- Existing Unit holders in scheme(s) of Quantum Mutual Fund are required to submit only the Systematic Transaction Form. Existing unit holders should note that the unit holder's details & the mode of holding will be as per the existing account. New investors, who wish to enroll for SIP through Auto Debit/SIP, should fill the Common Application Form & SIP Mandate Form in addition to the Systematic Transaction Form.
- First SIP cheque could be submitted on any business day.
- Investors opting for PDC SIP investment can subscribe to this facility subject to the condition that each of the SIP installments including the initial cheque should be of the same amount and uniformly dated i.e. either 5th, 7th, 15th, 21st, 25th or 28th of any month.
- Returned/Dishonored cheque Rejects will not be presented again for collection. If the 1st installment cheque is dishonored, the SIP processing/ registration will be rejected (the remaining cheques would be returned).
- SIP enrollment will be discontinued in case the SIP installment is not honored consecutively for 2 SIP installments.
- Please note that Quantum Tax Saving Fund (QTSF) has a lock-in period for 3 years.
- Additional SIP: If an investor wants to enroll in another scheme & continue for the existing folio, then the investor has to submit a duly filled & signed Systematic Transaction Form along with fresh cheques (if investment is in the new scheme).
- Top-up: After completion of the tenure, in case the investor wants to continue his SIP investment for another tenure with the existing folio, then the investor has to submit a duly filled & signed Systematic Transaction Form.
- Pursuant to implementation of Know Your Customer (KYC) norms under Prevention of Money Laundering Act, 2001, with effect from January 1, 2011, it is mandatory for all applicants to attach the KYC acknowledgement letter for all applicants irrespective of the amount of investment in the Application Form/ Transaction Slip / Form.
- The minimum number of installments for any frequency will include the first cheque only if the initial amount is the same as that of the remaining PDC SIP installments.
- In case an investor gives full/partial redemption request in a folio where there is an on-going SIP, then redemption will be processed only for the units towards which the amount has been realized.



### Additional instructions for Micro Systematic Investment Plan (MSIP)

1. Micro SIP (Systematic Investment Plan) upto ₹50,000 per year per investor shall be exempted from the requirement of PAN.
2. In case of Micro SIP also KYC is mandatory w.e.f. 1st January, 2012.
3. In lieu of PAN card copy Investor (including joint holders) to provide the self attested valid Photo ID Proof. Please refer Point 6 below.
4. All Micro SIPs where aggregate of installments in a financial year i.e. April to March does not exceed ₹50,000.
5. This exemption will be applicable only for investments by individuals (including NRIs but not PIOs), Minors and Sole proprietary firms. HUFs and other categories will not be eligible for Micro SIPs. The exemption is applicable to joint holders also.
6. While making additional/subsequent Micro SIP investment, investor can quote the existing folio number where a Micro SIP has been registered and therefore need not resubmit the supporting documents again.
7. Photo identification documents to be submitted in case of Micro SIP Voter Identity Card, Driving License, Government / Defense identification card, Passport, Photo Ration Card, Photo Debit Card (Credit card will not be accepted), Employee ID cards issued by companies registered with Registrar of Companies, Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament, ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks, Senior Citizen / Freedom Fighter ID card issued by Government, Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI, Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL), Any other photo ID card issued by Central Government / State Governments /Municipal authorities / Government organizations like ESIC / EPFO.
8. Proof of address copy: it is clarified that where photo identification documents contain the address of the investor, a separate proof of address is not required.

### Systematic Transfer Plan / Systematic Withdrawal Plan

1. All valid requests for STP/SWP forms from one scheme to the other scheme would be treated as switch-out/redemption & switchin/ purchase at the applicable NAV of the respective scheme(s). The difference between the NAV of two schemes will be reflected in the number of units allotted.
2. Minimum Investment Amount in Transfer Out scheme should be as per the respective SID/ Addendum.
3. Units marked under Lien, Pledge or Lock-in Period in the Transfer Out scheme will not be eligible for STP/SWP.
4. All valid applications will be processed as per the applicable uniform cut off timings on the business days as mentioned in the respective scheme SID.
5. A Unit holder who has opted for STP/SWP under a specific Scheme can also redeem or switch his Units to any other eligible Scheme provided he has sufficient balance in his account on the date of such a request
6. The Unit holder can make additional subscriptions in accordance to the terms and conditions of the Scheme Information Document (SID). Such additional subscription will alter the functioning of the STP/ SWP.
7. STP/SWP will be terminated automatically incase minimum STP/SWP installment amount is not available in the folio.
8. In case of STP / SWP from Quantum Long Term Equity Value Fund before 2 years from the date of purchase of existing units, the NAV and load will be charged as applicable.
9. STP and SWP for QTSF will be applicable after 3 years of lock-in period.

**Mutual Fund investments are subject to market risks. Please read Statement of Additional Information (SAI) and respective Scheme Information Document (SID) carefully for detailed risk factors and other information before investing.**

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



**Website** : [www.QuantumAMC.com](http://www.QuantumAMC.com)



**Email** : [CustomerCare@QuantumAMC.com](mailto:CustomerCare@QuantumAMC.com)



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



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



**Missed Call Facility** : 022 6829 3807



# FATCA FORM FOR INDIVIDUAL AND HUF

6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021  
www.QuantumAMC.com

Confirmation under the Foreign Account Tax Compliance Act (FATCA) for determining U.S. persons status - mandatory for all investors including joint holders, huf, guardian in case of minor and power of attorney holder.

Folio Number \_\_\_\_\_

|  | Applicant - 1   | Applicant - 2   | Applicant - 3   | Guardian/POA Holder   |
|--|---|---|---|---|
| PAN  |   |   |   |   |
| Country of Birth   |   |   |   |   |
| Country of Citizenship/<br>Nationality                     |   |   |   |   |
| Tax Resident of any country<br>other than India (Please ✓) | Yes <input type="checkbox"/> NO <input type="checkbox"/><br>If Yes:<br>#Country: _____<br>Tax Reference Number: _____ | Yes <input type="checkbox"/> NO <input type="checkbox"/><br>If Yes:<br>#Country: _____<br>Tax Reference Number: _____ | Yes <input type="checkbox"/> NO <input type="checkbox"/><br>If Yes:<br>#Country: _____<br>Tax Reference Number: _____ | Yes <input type="checkbox"/> NO <input type="checkbox"/><br>If Yes:<br>#Country: _____<br>Tax Reference Number: _____ |

\* To include USA, where investor is a Citizen / Greencard holder of USA

DECLARATION: I/We hereby declare that I/We have understood the nature of questions in the Form and the importance of disclosing all the material information required. I/We declare that the information is to the best of my/our knowledge and belief, accurate and complete. I/ We agree to notify Quantum Mutual Fund/ Quantum Asset Management Company Private Limited immediately in the event the information in the confirmation changes. I / We hereby authorise you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me / us, including all changes, update to such information as and when provided by me / us to Quantum Mutual Fund / Quantum Asset Management Company Private Limited to any Indian or foreign governmental or statutory or judicial authorities / agencies, the tax / revenue authority and other investigation agencies without obligation on advising me / us of the same.

Signature(s)

Date 

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

Place \_\_\_\_\_

|  |               |  |  |
|--|---------------|--|--|
| Sole/1 <sup>st</sup> Applicant/Guardian/Authorised Signatory | POA Signatory | 2 <sup>nd</sup> Applicant / Authorised Signatory | 3 <sup>rd</sup> Applicant / Authorised Signatory |
|--|---------------|--|--|



## Instructions:

Details under FATCA/Foreign Tax Laws: Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in information provided, please ensure you advise us promptly, i.e., within 30 days.

If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

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

 **Website** : [www.QuantumAMC.com](http://www.QuantumAMC.com)  
 **Email** : [CustomerCare@QuantumAMC.com](mailto:CustomerCare@QuantumAMC.com)  
 **SMS** : <QUANTUM> to 9243-22-3863

 **Toll Free Helpline** : 1800-22-3863 / 1800-209-3863  
 **Missed Call Facility** : 022 6829 3807



# FATCA/ FOREIGN TAX LAWS INFORMATION - NON INDIVIDUAL FORM

[Please seek appropriate advice from a tax professional on FATCA/ Foreign Tax laws related information]

6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021 | www.QuantumAMC.com

## Part I: Applicant/Investor details:

|               |  |     |  |
|---------------|--|-----|--|
| Investor Name |  |     |  |
| Folio No.     |  | PAN |  |

## Part II: Declarations

### (A) Particulars

| Category   |                                       |                          |                                |
|------------|---------------------------------------|--------------------------|--------------------------------|
| Applicants | Country of incorporation/constitution | Country of Tax residency | Taxpayer Identification Number |
| 1.         |                                       |                          |                                |
| 2.         |                                       |                          |                                |
| 3.         |                                       |                          |                                |

### (B) Other information:

| Sr No. | Information   | Additional Information to be provided   |   |   |   |   |   |   |   |   |
|--------|---|---|---|---|---|---|---|---|---|---|
| 1.     | We are a financial institution [including an FFI] [Refer instructions a]  | <input type="checkbox"/> Yes <input type="checkbox"/> No<br><br>If yes, please provide the following information:<br>GIIN: _____<br>(Global Intermediary Identification Number)<br><br>If GIIN not available [tick any one]:<br><input type="checkbox"/> Applied for on <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table><br><input type="checkbox"/> Not required to apply (please describe)<br>_____<br><input type="checkbox"/> Not obtained | D | D | M | M | Y | Y | Y | Y |
| D      | D   | M   | M | Y | Y | Y | Y |   |   |   |
| 2.     | We are a listed company [whose shares are regularly traded on a recognized stock exchange]  | <input type="checkbox"/> Yes <input type="checkbox"/> No<br><br>If Yes, specify the name of any one Stock Exchange where it is traded regularly:<br><br>1. BSE/NSE/Other _____<br>(please specify)  |   |   |   |   |   |   |   |   |
| 3.     | We are 'Related Entity' of a listed company [Refer instructions b]  | <input type="checkbox"/> Yes <input type="checkbox"/> No<br><br>If Yes, specify the name of the listed company _____<br>_____<br><br>Specify the name of any one Stock Exchange where it is traded regularly:<br><br>1. BSE/NSE/Other _____<br>(please specify)   |   |   |   |   |   |   |   |   |
| 4.     | We are an Active NFFE [Refer instructions c & d]<br><br>Note: Details of Controlling Persons will for FATCA purpose not be considered | <input type="checkbox"/> Yes <input type="checkbox"/> No<br><br>If Yes, specify the nature of business<br>Please specify the category of Active NFFE<br>_____<br>(Mention code – refer instructions)  |   |   |   |   |   |   |   |   |
| 5.     | We are an Passive NFFE [Refer instructions f and g]<br><br>Note: Details of Controlling Persons will be FATCA purpose considered for  | <input type="checkbox"/> Yes <input type="checkbox"/> No<br><br>If Yes, please provide:<br>1. Nature of business<br>_____<br>_____<br><br>2. For all Controlling Persons who are tax residents (including US citizens and green card holders) of countries other than India, please provide the necessary details including Taxpayer Identification Number (TIN) in the UBO form.   |   |   |   |   |   |   |   |   |

I/We hereby acknowledge and confirm that the information provided hereinabove is/are true and correct to the best of my knowledge and belief. I/We further agree and acknowledge that in the event, the above information and/or any part of it is/are found to be false/untrue/misleading, I/We will be liable for the consequences arising therefrom. I/We hereby authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/updates that may be provided by me/us to Mutual Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, SEBI registered intermediaries for single updation/submission, any Indian or foreign statutory, regulatory, judicial, quasi-judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. I/We further agree to promptly intimate you in writing regarding any change/modification to the above information and/or provide additional/further information as and when required by you.

Signature with relevant seal:

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| Authorised Signatory | Authorised Signatory | Authorised Signatory |
|----------------------|----------------------|----------------------|

Date: 

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

Place: \_\_\_\_\_

## Instructions

- Foreign Financial Institution [FFI] – Means any non-US financial institutions that is a – (1) Depository institution – accepts deposits in the ordinary course of banking or similar business; (2) Custodian institution – as a substantial portion of its business, hold financial assets for the accounts of others; (3) Investment entity – conducts a business or operates for or on behalf of a customer for any of the activities like trading in money market instruments, foreign exchange, foreign currency, etc. or individual or collective portfolio management or investing, administering or managing funds, money or financial assets on behalf of other persons; or an entity managed by this type of entity; or (4) Insurance company – entity issuing insurance products i.e. life insurance; (5) Holding or Treasury company – entity that is part of an expanded affiliate group that includes a depository, custodian, specified insurance company or investment entity
- Related Entity – an entity is a “Related Entity” of another entity if one controls the other, or the two entities are under common control (where control means direct or indirect ownership of more than 50% of the vote or value in an entity)
- Non-financial foreign entity [NFFE] – Non-US entity that is not a financial institution [including a territory NFFE]. Following NFFEs are excluded from FATCA reporting – (a) Publicly traded corporation / listed companies; (b) Related Entity of a listed company; and (c) Active NFFE
- Active NFFE – Any one of the following –

| Code | Sub-category   |
|------|--|
| 1.   | Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income  |
| 2.   | The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory  |
| 3.   | The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing   |
| 4.   | Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes  |
| 5.   | The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE  |
| 6.   | The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution  |
| 7.   | The NFFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution   |
| 8.   | Any NFFE is a 'non for profit' organization which meets all of the following requirements:<br>It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;<br>It is exempt from income tax in its jurisdiction of residence;<br>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;<br>The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE to be distributed to, or applied for the benefit of, a private person or noncharitable Entity other than pursuant to the conduct of the NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and<br>The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents require that, upon the NFFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFFE's jurisdiction of residence or any political subdivision thereof. |

- Expanded affiliated group – One or more chains of members connected through ownership (50% or more, by vote or value) by a common parent entity if the common parent entity owns stock or other equity interests meeting the requirements in atleast one of the other members
- Passive NFFE – means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations

- g. Passive Income – portion of gross income that consists of Income Distribution interest, rents and royalties (other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE), income equivalent to interest / amount received from pool of insurance contracts, annuities, excess of gains over losses from the sale or exchange of property / from transactions (including futures, forwards or similar transactions) in any commodities but not including (i) any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation or (ii) active business gains or losses from the sale of commodities but only if substantially all the foreign entity's commodities are property, excess of foreign currency gains over losses, net income from notional principal contracts, amounts received under cash value insurance contracts, amounts earned by insurance company in connection with its reserves for insurance and annuity contracts
- h. Controlling Persons - means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.



# DECLARATION FOR ULTIMATE BENEFICIAL OWNERSHIP [UBO]

(Mandatory for Non-individual Applicant/Investor)

6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021 | www.QuantumAMC.com

To be filled in BLOCK LETTERS (Please strike off section(s) that is/are not applicable)

## Part I: Applicant/Investor details:

|               |  |     |  |
|---------------|--|-----|--|
| Investor Name |  |     |  |
| Folio No.     |  | PAN |  |

## Part II: Applicable for Listed Company / its subsidiary company only

(i) I/We hereby declare that -

|   |
|---|
| <input type="checkbox"/> Our company is a Listed Company listed on recognized stock exchange in India |
| <input type="checkbox"/> Our company is a subsidiary of the Listed Company                            |
| <input type="checkbox"/> Our company is controlled by a Listed Company                                |

(ii) Details of Listed Company^

Stock Exchange on which listed.....

^The details of holding/parent company to be provided in case the applicant/investor is a subsidiary company.

## Part III: Non-individuals other than Listed Company / its subsidiary company

(i) Category [aapplicable category]:

|   |  |  |
|---|--|--|
| <input type="checkbox"/> Unlisted Company                                   | <input type="checkbox"/> Partnership Firm                | <input type="checkbox"/> Limited Liability Partnership Company |
| <input type="checkbox"/> Unincorporated association/body of individuals/HUF | <input type="checkbox"/> Public Charitable Trust         | <input type="checkbox"/> Religious Trust                       |
| <input type="checkbox"/> Private Trust                                      | <input type="checkbox"/> Private Trust created by a Will |  |
| <input type="checkbox"/> Others Company ..... [please specify]              |  |  |

(ii) Details of Ultimate Beneficiary Owners:

(In case the space provided is insufficient, please provide the information by attaching separate declaration forms)

|  |  |  |  |  |
|--|--|--|--|--|
| Name of UBO [Mandatory]<br>Along with Designation /<br>Position wherever applicable                  |  |  |  |  |
| UBO Code [Refer<br>instruction 3]  |  |  |  |  |
| PAN or any other valid ID<br>proof for those where PAN<br>is not available / applicable <sup>1</sup> |  |  |  |  |
| KYC (Yes/No) <sup>2</sup>  |  |  |  |  |
| Country of citizenship /<br>Nationality  |  |  |  |  |
| Country of Tax Residency <sup>3</sup>  |  |  |  |  |
| Taxpayer Identification<br>Number <sup>3</sup>   |  |  |  |  |
| Country of Birth   |  |  |  |  |
| Country of Permanent<br>Address  |  |  |  |  |
| Percentage of Holding % <sup>4</sup>   |  |  |  |  |

1. If UBO is KYC compliant, KYC proof to be enclosed. IF UBO is not KYC compliant then, (i) In case of individual Applicant attached PAN or if PAN is not available then attached any one of copy of the Unique Identification Number (UID) / Aadhar / Passport / Voter ID / Driving License (ii) In case of Applicant other than Individual PAN. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

2. If UBO is not KYC compliant, request to complete KYC formalities and send the intimation to KFin Technologies Limited. /Fund.

3. Please indicate all countries in which you are resident for tax purposes and the associate Tax Identification Number.

4. In case of HUF, please mention N.A. and provide details / attach copies of PAN of all major coparceners.

Note: Attached documents should be self-certified by the UBO and certified by the Applicant/Investor Authorized Signatory/ies.

#### Part IV: Declaration

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief. In the event any of the above information is/are found to be false/incorrect and/or the declaration is not provided, then the AMC/Trustee/Mutual Fund shall reserve the right to reject the application and/or reverse the allotment of units and the AMC/Mutual Fund/Trustee shall not be liable for the same. I/We hereby authorize sharing of the information furnished in this form with all SEBI Registered Intermediaries and they can rely on the same. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Authorized Signatories [with Company/Trust/Firm/Body Corporate seal]

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| Authorised Signatory | Authorised Signatory | Authorised Signatory |
|----------------------|----------------------|----------------------|

Date: 

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

Place: \_\_\_\_\_

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on antimoney laundering and SEBI circular No.CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

1. Ultimate Beneficiary Owner [UBO]:

A. For Investors other than individuals or trusts:

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

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/ MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

2. KYC requirements

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

3. UBO Codes:

| Code   | Sub-category  |
|--------|---|
| UBO-01 | Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company   |
| UBO-02 | Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership   |
| UBO-03 | Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an unincorporated association or body of individuals / HUF  |
| UBO-04 | Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO - 3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests] |
| UBO-05 | Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]   |
| UBO-06 | The settlor(s) of the trust   |
| UBO-07 | Trustee(s) of the Trust   |
| UBO-08 | The Protector(s) of the Trust [if applicable].  |
| UBO-09 | The beneficiaries with 15% or more interest in the trust if they are natural person(s)  |
| UBO-10 | Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.   |





|             |                      |              |   |
|-------------|----------------------|--------------|---|
| Bank Name   | <input type="text"/> | Branch Name  | <input type="text"/>  |
| City        | <input type="text"/> | PIN code     | <input type="text"/>  |
| Account No. | <input type="text"/> | Account type | <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE<br><input type="checkbox"/> NRO <input type="checkbox"/> FCNR <input type="checkbox"/> _____ |
| IFSC Code^^ | <input type="text"/> | MICR Code^   | <input type="text"/>  |

Document attached (Any one)    ☐ Cancelled Cheque with name/ A/c No. pre-printed    ☐ Bank statement    ☐ Pass book    ☐ Bank Certificate

SIGNATURES for Part A and Part B (Mandatory) (To be signed as per mode of holding In case of non-Individual Unit holders, to be signed by AUTHORISED SIGNATORIES)

Declaration:

I/We have read and understood the terms and conditions for registration of Bank Accounts and agree to abide by the same. I/we understand that my/our request will be executed only if it is filled properly with all details mentioned correctly and necessary documents are attached as applicable, failing which the request will be rejected. I/we would not hold Quantum Mutual Fund, the AMC / Trustee and the Registrar's liable for any loss due to delayed execution or rejection of the request.

|                                      |                                      |                                      |
|--------------------------------------|--------------------------------------|--------------------------------------|
| <input type="text"/>                 | <input type="text"/>                 | <input type="text"/>                 |
| Sole / First Applicant / Unit holder | Sole / First Applicant / Unit holder | Sole / First Applicant / Unit holder |

### C - DELETION OF BANK ACCOUNT(S)

Please delete the following Bank Account(s) as registered accounts for my/our folio(s) mentioned in the 1<sup>st</sup> page

Folio No.  Permanent Account Number (PAN)

Name of Sole / First Unit Holder

|                                |                                   |
|--------------------------------|-----------------------------------|
| Bank Name <input type="text"/> | Bank A/c No. <input type="text"/> |
| Bank Name <input type="text"/> | Bank A/c No. <input type="text"/> |
| Bank Name <input type="text"/> | Bank A/c No. <input type="text"/> |

Deletion of a default bank account is not permitted unless the investor mentions another registered bank account as a default account in Part A of this Form.

SIGNATURES for Part C (Mandatory) (To be signed as per mode of holding. In case of non-Individual Unit holders, to be signed by AUTHORISED SIGNATORIES)

Declaration:

I/We have read and understood the terms and conditions for registration of Bank Accounts and agree to abide by the same. I/we understand that my/our request will be executed only if it is filled properly with all details mentioned correctly and necessary documents are attached as applicable, failing which the request will be rejected. I/we would not hold Quantum Mutual Fund, the AMC / Trustee and the Registrar's liable for any loss due to delayed execution or rejection of the request.

|                                      |                                      |                                      |
|--------------------------------------|--------------------------------------|--------------------------------------|
| <input type="text"/>                 | <input type="text"/>                 | <input type="text"/>                 |
| Sole / First Applicant / Unit holder | Sole / First Applicant / Unit holder | Sole / First Applicant / Unit holder |

### INSTRUCTIONS AND TERMS AND CONDITIONS

- This facility allows a unit holder to register multiple bank account details for all investments held in the specified folio (existing or new) Individuals/ HuF/ Sole Proprietor Firm can register upto 5 different bank accounts for a folio by using this form. Non-individuals can register upto 10 different bank accounts for a folio. Any more Bank account/s, even if mentioned or provided will not be registered unless accompanied by deletion request to delete any existing bank accounts.
- Unitholder(s) need to attach any one of the following mandatory documents in original, in respect of each bank account for registering the bank accounts, failing which the particular bank account will not be registered. This will help in verification and registration of the account details accurately.
  - Cancelled Cheque with first applicant name and account number pre-printed on the face of the cheque.
  - Bank Statement with current entries not older than 3 months.
  - Certified Bank Passbook with current entries not older than 3 months.
  - Bank Letter/Certificate duly signed by Bank Branch Manager/Authorized Personnel.

If photocopy of any document is submitted, the copy should be certified by the Bank Manager or self attested copy along with Original documents for verification.

Additionally the AMC may call for the below mentioned documents, wherever required on case to case basis:

Cancelled original cheque with first unit holder name and bank account number printed on the face of the cheque.

OR

Original bank account statement / Pass book. OR

Original letter issued by the bank on the letterhead confirming the bank account holder with the account details, duly signed and stamped by the Branch Manager. OR

In case such bank account is already closed, a duly signed and stamped original letter from such bank on the letter head of bank, confirming the

closure of said account.

All documents submitted should clearly evidence the bank name, account number and name of all account holders.

3. Bank account registration/deletion request will be accepted and processed only if all the details are correctly filled and the necessary documents are submitted. The request is liable to be rejected if any information is incomplete or incorrectly filled or if there is deficiency in the documents submitted.
4. The first/sole unit holder in the folio should be one of the holders of the bank account being registered.
5. The investors can change the default bank account by submitting this form. In case multiple bank accounts are opted for registration as default bank account, the mutual fund retains the right to register any one of them as the default bank account.
6. A written confirmation of registration/addition/ change / deletion or inability to process the request will be dispatched to the unitholder within 10 business days of receipt of such request. The Account statement will reflect default bank mandate only and hence unitholder should preserve this letter for their reference.
7. If any of the registered bank accounts are closed/ altered, please intimate the AMC by using the designated application form only.
8. The Bank Account chosen as the primary/default bank account will be used for all Redemption payouts/ income distribution payouts. At anytime, investor can instruct the AMC to change the default bank account by choosing one of the additional accounts already registered with the AMC.
9. If request for redemption is received along with a change of bank account or before verification of the new bank account, the redemption request would be processed to the currently registered default (old) bank account. Consequent to introduction of "Multiple Bank Accounts Facility", the existing facility of redemption with change of bank mandate will not be applicable. A cooling-off period of 10 business days is required for registering the bank account and no redemption payouts will be made into such bank accounts during the cooling-off period.  
Quantum Mutual Fund will not be responsible for sending redemption proceeds without considering unregistered bank account mentioned in the redemption request.
10. If an NRI in a folio, purchases investments vide SB or NRO bank account, the bank account types for redemption can be SB or NRO only. If the purchase investments are made vide NRE account(s), the bank accounts types for redemption can be SB/ NRO/ NRE.
11. The registered bank accounts will also be used to identify the pay-in proceeds. Hence, unit holder(s) are advised to register their various bank accounts in advance using this facility and ensure that payments for ongoing purchase transactions are from any of the registered bank accounts only, to avoid fraudulent transactions and potential rejections due to mismatch of pay-in bank details with the accounts registered in the folio.
12. Quantum Mutual Fund /AMC/ Trustee and its Registrar's shall not be held liable for any loss arising to the unit holder(s) due to the credit of redemption/ income distribution proceeds into any other bank accounts registered in the folio.



# NOMINATION FORM

(For use only by individual Unit Holders for registering a Nominee or modification of existing Nomination)

6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021 | [www.QuantumAMC.com](http://www.QuantumAMC.com)

Please fill this form in ENGLISH in BLACK/DARK COLOURED INK in CAPITAL LETTERS.

I / We do hereby nominate the under mentioned Nominee(s) to receive the Units allotted to me/our credit in my folio in the event of my / our death in proportion to the percentage (%) indicated against the name(s) of the Nominee(s).

I / We understand that all payments and settlements made to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be a valid discharge by the AMC / Mutual Fund / Trustee.

\*The above nomination details supersede all the earlier nominations provided by the investor in the said folio.

Date 

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

## 1. Folio Number/ Application Number

Folio No.\* 

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

Application No. 

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

## 2. Particulars

|  |       |  |  |   |   |                                 |  |
|--|-------|--|--|---|---|---------------------------------|--|
| Name of Nominee                                |       |  |  | Date of Birth of Nominee                        |   |                                 |  |
| Address  |       |  |  | PAN No. of Nominee                              |   |                                 |  |
|  | City  |  |  | Relationship With Applicant                     | <input type="checkbox"/> Mother         | <input type="checkbox"/> Father |  |
| Pin Code                                       | State |  |  |   | <input type="checkbox"/> Spouse         | Others _____                    |  |
| Name of Guardian/ Parent (If Nominee is minor) |       |  |  | Relationship With Nominee (If Nominee is minor) | <input type="checkbox"/> Mother         | <input type="checkbox"/> Father |  |
|  |       |  |  |   | <input type="checkbox"/> Legal Guardian |                                 |  |
| Address of Guardian                            |       |  |  | PAN No. of Guardian/Parent                      |   |                                 |  |
|  | City  |  |  | Pin Code  |   | % Share in Nomination: _____    |  |

Proof of Date of Birth\* ☐ Birth Certificate ☐ School Leaving Certificate ☐ Passport ☐ Others \_\_\_\_\_ Please Specify \_\_\_\_\_

Proof of Relationship\* ☐ Birth Certificate ☐ School Leaving Certificate ☐ Passport ☐ Others \_\_\_\_\_ Please Specify \_\_\_\_\_

Signature of Nominee/Guardian

|  |       |  |  |   |   |                                 |  |
|--|-------|--|--|---|---|---------------------------------|--|
| Name of Nominee                                |       |  |  | Date of Birth of Nominee                        |   |                                 |  |
| Address  |       |  |  | PAN No. of Nominee                              |   |                                 |  |
|  | City  |  |  | Relationship With Applicant                     | <input type="checkbox"/> Mother         | <input type="checkbox"/> Father |  |
| Pin Code                                       | State |  |  |   | <input type="checkbox"/> Spouse         | Others _____                    |  |
| Name of Guardian/ Parent (If Nominee is minor) |       |  |  | Relationship With Nominee (If Nominee is minor) | <input type="checkbox"/> Mother         | <input type="checkbox"/> Father |  |
|  |       |  |  |   | <input type="checkbox"/> Legal Guardian |                                 |  |
| Address of Guardian                            |       |  |  | PAN No. of Guardian/Parent                      |   |                                 |  |
|  | City  |  |  | Pin Code  |   | % Share in Nomination: _____    |  |

Proof of Date of Birth\* ☐ Birth Certificate ☐ School Leaving Certificate ☐ Passport ☐ Others \_\_\_\_\_

Proof of Relationship\* ☐ Birth Certificate ☐ School Leaving Certificate ☐ Passport ☐ Others \_\_\_\_\_

Signature of Nominee/Guardian

|   |      |       |          |   |  |
|---|------|-------|----------|---|--|
| Name of Nominee                               |      |       |          | Date of Birth of Nominee                        |  |
| Address                                       |      |       |          | PAN No. of Nominee                              |  |
|   | City |       |          | Relationship With Applicant                     | <input type="checkbox"/> Mother <input type="checkbox"/> Father<br><input type="checkbox"/> Spouse    Others _____ |
| Pin Code                                      |      | State |          |   |  |
| Name of Guardian/Parent (If Nominee is minor) |      |       |          | Relationship With Nominee (If Nominee is minor) | <input type="checkbox"/> Mother <input type="checkbox"/> Father<br><input type="checkbox"/> Legal Guardian         |
| Address of Guardian                           |      |       |          | PAN No. of Guardian/Parent                      |  |
|   | City |       | Pin Code |   | % Share in Nomination: _____   |

Proof of Date of Birth\* ☐ Birth Certificate ☐ School Leaving Certificate ☐ Passport ☐ Others \_\_\_\_\_

Proof of Relationship\* ☐ Birth Certificate ☐ School Leaving Certificate ☐ Passport ☐ Others \_\_\_\_\_

Signature of Nominee/Guardian

☐ I / We confirm having read and understood the rules & Instructions contained overleaf and agree to comply with and adhere to such rules or any amendments that may be made from time to time.

SIGNATURES (All Applicants / Unitholders must sign here)

|                      |                           |                           |                           |
|----------------------|---------------------------|---------------------------|---------------------------|
| Name of the Investor |                           |                           |                           |
| Signature            | 1 <sup>st</sup> Applicant | 2 <sup>nd</sup> Applicant | 3 <sup>rd</sup> Applicant |

#### NOMINATION DETAILS / INSTRUCTIONS

As per SEBI regulations, you can assign one or more nominee(s) to the investment, to whom the amounts will be payable on death of the sole or all Unitholders as the case may be. This form is to be filled if you wish to nominate multiple nominees. If you are filling this at the time of opening a new folio with Quantum Mutual Fund, please submit this along with the Common Application Form. You may also use this for nominating multiple nominees subsequent to opening a folio, or to modify existing nomination(s)

- The nomination can be made only by individuals applying for / holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of HUF cannot nominate.
- A Unitholder can have a maximum of 3 nominees.
- A minor can be nominated and in that event, the name, address and signature of the guardian of such minor nominee shall be provided. Nomination may also be in favour of the Central Government, State Government, local authority, any person designated by virtue of his office or a religious or charitable trust.
- The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of HUF or a PoA holder. A non-resident Indian can be a Nominee, subject to the exchange control regulations in force, which may change from time to time.
- Nomination in respect of the units stands rescinded upon the transfer/transmission of units. Transmission of units in favour of a Nominee shall be valid discharge by the AMC against the legal heir.
- A Non-Resident Indian can be a nominee subject to the exchange control regulations in force, from time to time.
- The cancellation of nomination can be made only by Unitholders on their own behalf, singly or jointly, and who have made the original nomination. On cancellation of the nomination, the nomination shall stand rescinded and the AMC shall be under no obligation to transfer the units in the Nominee's favour.
- If the unitholders have not indicated the percentage of allocation for each nominee, the AMC shall settle the claim proportionately amongst the nominees on equal basis. However in case of 3 Nominee(s), the allocation by default will be 34%, 33% & 33% respectively for each Nominee in the sequential order if the investor/s has/have failed to furnish the ratios.
- PoA Holders cannot execute a nomination request, it has to be executed by the Applicant(s)/Unitholder(s).
- Submission of fresh Nomination form if found in order will tantamount to cancellation of existing Nomination.
- Nominee is registered/modified/changed only at folio level and not at Scheme/Option/Facility level.



# MINOR ATTAINING MAJORITY - REQUEST FORM TO CHANGE STATUS

To  
Quantum Mutual Fund

Folio No.

Investment was made in the above Folio when I was a minor and the same was represented by \_\_\_\_\_  
<Guardian Name>. As I have completed 18 years of age as on \_\_\_\_\_ <Date>, I hereby request to update, my status as Individual and  
remove the Guardian Name. Please also update the following details in your records for the above referred Folio.

## 1. \*INVESTOR DETAILS

Name of Sole/1<sup>st</sup> Applicant ☐ Mr. ☐ Ms. ☐ Other Please Specify

\*PAN/PEKRN  Aadhaar Number

DOB         Tax Status ☐ Residential ☐ NRI/PIO/OCI

Contact Details Mobile No.  Email ID

This email id belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian

This mobile id belongs to (Mandatory Please ✓): ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian

Tel No-STD Code  Res.  Off.  Fax

## 2. \*BANK ACCOUNT DETAILS

A/c Type [please ✓] ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR

Bank Name  IFSC  MICR Code

Account No  Branch  City  Pin Code

## 3. \*FATCA and CRS Details for Individuals (Mandatory)

The below information is required for all applicants/guardian

| Category                           | 1 <sup>st</sup> Applicant / Guardian | 2 <sup>nd</sup> Applicant | 3 <sup>rd</sup> Applicant |
|------------------------------------|--------------------------------------|---------------------------|---------------------------|
| Place/City of Birth                |                                      |                           |                           |
| Country of Birth                   |                                      |                           |                           |
| Country of Citizenship/Nationality |                                      |                           |                           |

Is your Tax Residency/Country of Birth/Citizenship/Nationality other than India? ☐ Yes ☐ No (Please ✓)

If yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below. In case of POA, the POA holder should mandatorily fill Annexure I for complete details.

| Category                           | 1 <sup>st</sup> Applicant / Guardian | 2 <sup>nd</sup> Applicant | 3 <sup>rd</sup> Applicant |
|------------------------------------|--------------------------------------|---------------------------|---------------------------|
| Country of Citizenship/Nationality |                                      |                           |                           |
| Tax Payer Reference ID No. 1       |                                      |                           |                           |
| Country of Tax Residency 2         |                                      |                           |                           |
| Tax Payer Reference ID No. 2       |                                      |                           |                           |

## 4. \*NOMINATION DETAILS

☐ I do not wish to Nominate

|   | 1 <sup>st</sup> Nominee  | 2 <sup>nd</sup> Nominee  | 3 <sup>rd</sup> Nominee  |
|---|--|--|--|
| Name (as in PAN card/KYC records)             |  |  |  |
| PAN   |  |  |  |
| Date of Birth                                 | D D M M Y Y Y Y  | D D M M Y Y Y Y  | D D M M Y Y Y Y  |
| Relationship with Investor                    |  |  |  |
| Address                                       |  |  |  |
| Guardian Name<br>(in case Nominee is a Minor) | <input type="checkbox"/> Father <input type="checkbox"/> Mother<br><input type="checkbox"/> Legal Guardian | <input type="checkbox"/> Father <input type="checkbox"/> Mother<br><input type="checkbox"/> Legal Guardian | <input type="checkbox"/> Father <input type="checkbox"/> Mother<br><input type="checkbox"/> Legal Guardian |
| Type of Guardian                              | <input type="checkbox"/> Natural Guardian<br><input type="checkbox"/> Court Appointed guardian             | <input type="checkbox"/> Natural Guardian<br><input type="checkbox"/> Court Appointed guardian             | <input type="checkbox"/> Natural Guardian<br><input type="checkbox"/> Court Appointed guardian             |
| Allocation % (Total to be 100%)               |  |  |  |

|                                   |                             |    |  |
|-----------------------------------|-----------------------------|----|--|
| Signature of First Holder (Major) | Guardian's Attestation      | OR | Bank Attestation                                       |
| Name:                             | Registered Guardian's Name: |    | Branch Seal with name, designation and employee number |

## Documents attached:

- ☐ 1. KYC Confirmation Letter / KYC acknowledgment copy along with PAN Card copy.
- ☐ 2. Attach Any one of following:
- Cancelled Cheque with Name & Account number printed on it.
  - Original Bank statement / Copy of the Bank Statement showing A/c holder Name and A/c No. duly attested by the relevant Bank Manager.
  - Copy of Pass book showing A/c holder Name and A/c No. duly attested by the relevant Bank Manager.

## Please note:

(You may produce the originals of the documents mentioned above, along with the photocopies, at the counter, we shall verify them and return the originals to you, or photocopies can be submitted attested by the Banker Manager, (name, designation, employee code, and seal should be affixed, clearly on the copy).

## ACKNOWLEDGEMENT SLIP (To be filled in by the investor)

Quantum Mutual Fund-6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021. [www.QuantumMF.com](http://www.QuantumMF.com)

We acknowledge the receipt of the request for change of status from minor to major from Mr. / Ms. / M/s. \_\_\_\_\_  
 \_\_\_\_\_ in Folio No. \_\_\_\_\_ with Quantum Mutual Fund

Date of receipt at \_\_\_\_\_

SEAL

## INSTRUCTIONS AND TERMS &amp; CONDITIONS

As per SEBI regulations when the units are held on behalf of the minor, the ownership of the units rests with the minor. A guardian shall operate the account until the minor attains the age of majority.

- In the event of minor attaining majority, existing standing instructions on SIP/STP/SWP shall continue to be processed until the change of status is effected in the records of the mutual fund. Prior to minor attaining majority, an advance notice will be sent to the registered Email ID /correspondence address advising the guardian to submit an application form (attached herewith) along with prescribed documents specified therein to change the status of the account to "major". The existing standing instructions shall be terminated immediately after successful change of status from Minor to Major in our records.
- The account shall be frozen for operation by the guardian on the day the minor attains the age of majority and no transactions other than existing SIP, STP, SWP shall be permitted till successful change of status in our records.



# SMILE FACILITY FORM

6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021  
www.QuantumAMC.com

Please fill this form in ENGLISH in BLACK/DARK COLOURED INK in CAPITAL LETTERS.

☐ Registration / Tagging ☐ Modification ☐ Deletion / Untagging

Folio No.

First Unit Holder Name

Country of Citizenship

Contribution to SMILE Facility: ☐ 10% OR ☐ Investor Advised  
(For Indian Citizens Only\*)

Contribution to SMILE Facility: ☐ Investor Advised  
(For Other Citizens\*)

\*Note: Resident/Non Resident Indian holding foreign citizenship can opt for SMILE Facility on any date through Investor Advised Option. However, contribution to NGOs can be done either on the investors getting their Indian Citizenship or on receipt of FCRA approval by HYNGO Foundation which is currently in the process for approval with the Ministry of Home Affairs.

## Scheme Selection (Specify the Scheme for the SMILE Facility)

| Sr.No | Scheme Name with Option | Number of Units |
|-------|-------------------------|-----------------|
| 1.    |                         |                 |
| 2.    |                         |                 |
| 3.    |                         |                 |
| 4.    |                         |                 |
| 5.    |                         |                 |
| 6.    |                         |                 |

OR

☐ All Existing Schemes enabled for SMILE facility (please refer instruction no - 7)

## Selection of NGOs for SMILE Contribution (Please refer NGO List in point no - 10)

|            |  |                |      |
|------------|--|----------------|------|
| NGO1 Name: |  | % Contribution |      |
| NGO2 Name: |  | % Contribution |      |
| TOTAL      |  |                | 100% |

## Investor Advised Donation (Applicable to Investors Opting for "Investor Advised" Option; to be only Filled at the Time of Contribution)

|            |  |                |      |
|------------|--|----------------|------|
| Amount     |  |                |      |
| NGO1 Name: |  | % Contribution |      |
| NGO2 Name: |  | % Contribution |      |
| TOTAL      |  |                | 100% |

## Declaration

I/We have read and understood the contents of the Statement of Additional Information/Scheme Information Document/Key Information Memorandum of the Scheme, addenda issued till date, terms and conditions of the SMILE Facility and abide by that. I / We hereby authorize the Trustee of Quantum AMC / Quantum Mutual Fund for redemption of units/amount as per the terms and conditions of SMILE Facility and transfer / donate such redemption amount to the HYNGO Foundation Bank Account who, in turn, will transfer / donate such redemption amount to respective Non- Governmental Organizations (NGOs) as selected in the form. Quantum AMC / Quantum Mutual Fund shall not be held responsible or liable in any manner whatsoever for making such donations on my/our behalf to HYNGO Foundation and then in turn by HYNGO Foundation to the respective NGOs.

### Applicable for Non – Individual Investors:

We are the entity formed and registered in India and does not receive foreign contribution / we are the entity formed and registered in India, receiving foreign contribution but the investments in the SMILE Facility is using Local Funds and not from the organization's FCRA Bank Account.

Signature(s)

Date

Place \_\_\_\_\_

|  |  |  |
|--|--|--|
| Sole/1 <sup>st</sup> Applicant/Guardian/Authorised Signatory | 2 <sup>nd</sup> Applicant / Authorised Signatory | 3 <sup>rd</sup> Applicant / Authorised Signatory |
|--|--|--|

Note: Application form to be signed as per mode of holding registered in the folio.

## INSTRUCTIONS AND TERMS & CONDITIONS

1. SMILE facility enables an investor; basis a consent option; to contribute some percentage of his/her Investment in the schemes of Quantum Mutual Fund towards a charitable cause to any two NGO's (maximum)
2. Please fill this form in ENGLISH in Black/Dark colored ink in capital letters.
3. It can be availed by investors having their investments in non-demat mode only.
4. Application form to be signed as per mode of holding registered in the folio.
5. All fields mentioned in the form are mandatory.

### 6 Who Can Opt for the Facility:

1. Resident
2. HUF
3. Companies / LLP
4. Societies
5. Partnership Firm
6. Trusts
7. NRI with terms and conditions as mentioned below

Resident / Non Resident Indian holding foreign citizenship can opt for SMILE Facility on any date through Investor Advised Option. However, contribution to NGOs can be done either on the investors getting their Indian Citizenship or on receipt of FCRA approval by HYNGO which is currently in the process for approval with the Ministry of Home Affairs.

7. **Eligible Schemes:** Quantum Long Term Equity Value Fund, Quantum Equity Fund of Funds, Quantum Dynamic Bond Fund, Quantum Multi Asset Fund, Quantum Gold Savings Fund and Quantum Liquid Fund.
8. Smile facility is available only for Growth Option.
9. **Tagging of Folio to SMILE:** Investor needs to mention the Folio Number and Scheme in case of multiple schemes in a folio in the application form which will be tagged for SMILE facility from which selected contribution will be made to HYNGO Foundation. Investor can give request for tagging or un-tagging of the folio chosen for SMILE.

### 10. NGO Selections for SMILE Contribution

1. HelpYourNGO Foundation
2. Sree Guruvayurappan Bhajan Samaj Trust - Unnati
3. CanSupport
4. Vidya Poshak
5. Fight Hunger Foundation
6. Parinaam Foundation
7. Make-A-Wish Foundation of India

For more details on the NGO's and SMILE facility kindly visit [www.QuantumMF.com/FAQ.aspx](http://www.QuantumMF.com/FAQ.aspx) and select SMILE facility in the drop down.

### 11. Contribution to NGOs:

- (i) 10% of the contribution from the holding of the investor under the folio tagged for SMILE at the end of each year ended September 30 shall be made by way of automatic redemption of units. Please refer the detailed example below;
  - (a) Holding as on September 30, 2020 is Rs. 5,000 and the investor has selected an option of 10% of the Value.
  - (b) 10% of Rs 5,000 + load (if any) = Rs. 500 (will be deducted as partial redemption done automatically)
2. Investor to select from a list of 7 NGOs at the time of initial request.
  3. Minimum 1 and Maximum 2 NGO can be selected.
  4. If no NGO is/are selected then the contribution will be made to the HYNGO Foundation as General Donation.
  5. Investors to prescribe a percentage (%) of contribution to be distributed to each NGO in the form.
  6. Investors can change their NGOs and % of contribution any time. However, the amount will be distributed according to the latest request registered as on September 30.
  7. HYNGO Foundation will transfer 95% of the contribution to respective NGOs and will retain 5% with it as General Donation to HYNGO Foundation.

**Payout Process:** The amount contributed by investors will be transferred based on the investor's authority to the HelpYourNGO (HYNGO) Foundation's bank account within 10 Business Days from the end of the every year ended September 30 / redemption date selected by investor in case of Investor Advised. The HYNGO Foundation in turn will contribute the amounts to respective NGO(s). The Contribution 10% or Investor Advised will be done by way of redemption of units subject to exit load. The long term / short term capital gain tax as may be applicable depend on the nature of scheme and holding period of units.

12. **Transfer of Funds / Contribution to HYNGO Foundation, 80G Certificate and Reports:** Quantum AMC will transfer redemption amount based on the investor's authority to HYNGO Foundation, which in turn will issue 80G Certificate to the investor for the amount remitted. HYNGO Foundation will then transfer 95% of funds to respective NGOs based on contribution option decided by the investors and will retain 5% of the funds as administrative and due diligence cost. HYNGO will procure a confirmation from the NGO that the donation amount has been received. HYNGO Foundation will update Reports on amount contributed through SMILE on HYNGO Foundation website [www.helpyourngo.com](http://www.helpyourngo.com).

### 13. What is the Investor Advised option? Who can avail of this option?

The Investor Advised option allows an investor to:

1. Contribute to any NGO of listed with HelpYourNGO on their website (<https://www.helpyourngo.com>), not just the NGOs mentioned in the list of NGOs mentioned above.
2. Redeem his/her units and contribute any amount, not necessarily 10% of his/her holdings. The minimum contribution should be Rs 500/-
3. Currently investors can opt for Investor Advised option through offline option by submitting the SMILE facility form.

This option can be availed by all Resident Indians and NRIs – whether they are citizens of India or not.

14. Non Individual Investors (except HUF) required to submit certificate from chartered accountant. Either in the format prescribed in Annexure A or Annexure B as may be applicable.



## Annexure A

(To be printed on CA Letterhead)

Date: 

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

### CERTIFICATE

This is to certify that (enter full name of the organization) is an entity registered in India and has approval under the Foreign Contribution (Regulation) Act, 2010 (FCRA) to receive and utilize foreign contribution. However, the investment in Quantum Mutual Fund's SMILE facility is made out of the organization's Local funds and not from their FCRA bank account or funds received from 'foreign source/s', as defined under the Foreign Contribution (Regulation) Act, 2010.

Based on my/our scrutiny of the books of accounts, financial records and documents, this statement is true and correct to the best of my/our knowledge and as per the information provided to my/our satisfaction.

This Certificate should not be used for any other purpose without our prior written consent.

For (Name of Chartered Accountants Firm)

Chartered Accountants

per (Full Name of Partner/Proprietor)

Partner

Membership Number: \_\_\_\_\_

Place: \_\_\_\_\_

Date: \_\_\_\_\_

## Annexure B

(To be printed on CA Letterhead)

Date: 

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

### CERTIFICATE

This is to certify that (enter full name of the organization) is an entity registered in India and does not receive foreign contribution from any 'foreign source/s' as defined in the Foreign Contribution (Regulation) Act, 2010.

Based on my/our scrutiny of the books of accounts, financial records and documents, this statement is true and correct to the best of my/our knowledge and as per the information provided to my/our satisfaction.

This Certificate should not be used for any other purpose without our prior written consent.

For (Name of Chartered Accountants Firm)

Chartered Accountants

per (Full Name of Partner/Proprietor)

Partner

Membership Number: \_\_\_\_\_

Place: \_\_\_\_\_

Date: \_\_\_\_\_

**Quantum Asset Management Company Pvt. Ltd.**

**Mumbai:** 6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021

**Ahmedabad:** BSQUARE Office Solutions, 6th Floor Shree Krishna Centre, Nr. Mithakhali Six Roads, Navrangpura, Ahmedabad - 380 009

## K-Fin Technologies Collection Centers

**Agartala:** KFin Technologies Limited. OLS RMS CHOWMUHANI, MANTRI BARI ROAD 1ST FLOOR NEAR Jana Sevak Saloon Building TRAFFIC POINT Agartala, Tripura West, Pin-799001 **Agra:** KFin Technologies Limited. House No. 17/2/4, 2nd Floor Deepak Wasan Plaza, Behind Hotel Holiday INN, Sanjay Place, Agra -282002 (U.P) **Ahmedabad:** KFin Technologies Limited. Office No. 401, 4th Floor ABC-I, Off. C.G. Road Ahmedabad-380 009 **Ajmer:** KFin Technologies Limited. 302, 3rd Floor, Ajmer Auto Building Opposite City Power House, Jaipur Road Ajmer - 305 001 **Akola:** KFin Technologies Limited. Yamuna Tarang Complex, Shop No 30, Ground Floor, N.H. No- 06, Murtizapur Road Opp Radhakrishna Talkies Akola-444004 **Aligarh:** KFin Technologies Limited. 1st Floor Sevti Complex Near Jain Temple, Samad Road Aligarh - 202001, Uttar Pradesh **Allahabad:** KFin Technologies Limited. Meena Bazar, 2nd Floor, 10 S.P. Marg Civil Lines, Subhash Chauraha, Prayagraj Allahabad - 211001 **Alwar:** KFin Technologies Limited. 137, Jai Complex Road No - 2 Alwar-301001 **Amaravathi:** KFin Technologies Limited. Shop No. 21, 2nd Floor Gulshan Tower, Near Panchsheel Talkies, Jaistambh Square, Amaravathi - 444601 **Ambala:** KFin Technologies Limited. 6349, 2nd Floor, Nicholson Road, Adjacent Kos Hospital, Ambala Cant, Ambala - 133001 **Amritsar:** KFin Technologies Limited. SCO 5, 2nd Floor, District Shopping Complex, Ranjit Avenue, City- Amritsar, Punjab, Pin Code - 143001 **Anand:** KFin Technologies Limited. B-42 Vaibhav Commercial Center Nr Tvs Down Town Show Room, Grid Char Rasta, Anand - 388 001 **Ananthapur:** KFin Technologies Limited. #13/4, Vishnupriya Complex, Beside SBI Bank, Near Tower Clock Anantapur - 515 001 **Asansol:** KFin Technologies Limited. 1st Floor, 112/N, G. T. ROAD BHANGA PACHIL, Paschim Bardhaman Asansol - 713303, West Bengal **Aurangabad:** KFin Technologies Limited. Shop no B 38, Motiwala Trade Centre Nirala Bazar Aurangabad-431001 **Azamgarh:** KFin Technologies Limited. House No. 290, Ground Floor Civil lines, Near Sahara Office Azamgarh-276 001 **Balasore:** KFin Technologies Limited. 1-B. 1st Floor, Kalinga Hotel Lane Baleswar, Baleswar Sadar Balasore - 756001, Orissa **Bangalore:** KFin Technologies Limited. OLD NO : 35 , NEW NO-59, 1st Floor KAMALA NIVAS, PUTTANNA ROAD Basavanagudi Bangalore - 560 004 **Bankura:** KFin Technologies Limited. Plot nos- 80/1/ANATUNCHATI MAHALLA 3rd floor, Ward No 24 Opp to PC Chandra, Bankura - 722101 **Bareilly:** KFin Technologies Limited. 1ST FLOOR REAR SIDE A -SQUARE BUILDING 54-CIVIL LINES, Ayub Khan Chauraha BAREILLY - 243 001 **Baroda:** KFin Technologies Limited. 203, Corner point Jetalpur Road Baroda Gujarat - 390007. **Begusarai:** KFin Technologies Limited. C/o Dr Hazari Prasad Sahu Ward No 13, Behind Alka Cinema Begusarai - 851117, Bihar **Belgaum:** KFin Technologies Limited. Premises No 101 , CTS NO 1893, Shree Guru Darshani Tower Anandwadi, Hindwadi, Belgaum 590011 **Bellary:** KFin Technologies Limited. SHREE GAYATHRI TOWERS, #4 1ST FLOOR K.H.B.Colony, GOPALSWAMY MUDALIAR ROAD, Gandhi Nagar Bellary 583103 **Berhampur (Or):** KFin Technologies Limited. Opp -Divya Nandan Kalyan Mandap 3rd Lane Dharam Nagar, Near Lohiya Motor Berhampur-760001 **Bhagalpur:** KFin Technologies Limited. 2nd Floor, Chandralok Complex, Near Ghantaghar, Radha Rani Sinha Road, Bhagalpur - 812001 **Bharuch:** KFin Technologies Limited. 123 Nexus business Hub, Near Gangotri Hotel B/s Rajeshwari Petroleum, Makampur Road Bharuch - 392 001 **Bhatinda:** KFin Technologies Limited. 2nd Floor, MCB -Z-3-01043 GONIANA RODA, OPPORITE NIPPON INDIA MF GT ROAD, NEAR HANUMAN CHOWK, BHATINDA -151001, Punjab **Bhavnagar:** KFin Technologies Limited. 303, STERLING POINT, WAGHAWADI ROAD, BHAVNAGAR - 364001 **Bhilai:** KFin Technologies Limited. Office No.2, 1st Floor Plot No. 9/6, Nehru Nagar [East] Bhilai, Durg BHILAI - 490020, Chhattisgarh **Bhilwara:** KFin Technologies Limited. Office No. 14 B, Prem Bhawan, Pur Road, Gandhi Nagar, Near Canara Bank, Bhilwara - 311001 (Rajasthan) **Bhopal:** KFin Technologies Limited. SF-13 Gurukripa Plaza, Plot No. 48A Opposite City Hospital, zone-2, M P Nagar Bhopal-462011 **Bhubaneswar:** KFin Technologies Limited. A/181 Back Side Of Shivam Honda Show Room Saheed Nagar Bhubaneswar-751007 **Bikaner:** KFin Technologies Limited. Plot No 70 & 71, 2nd Floor, Dr.Chahar Building, Panchshati Circle, Sadul Gunj, Bikaner-334003 **Bilaspur:** KFin Technologies Limited. ANANDAM PLAZA, Shop.No.306 3rd Floor, Vyapar Vihar Main Road Bilaspur-495001 **Bokaro:** KFin Technologies Limited. CITY CENTRE, PLOT NO. HE-07, SECTOR-IV BOKARO STEEL CITY Bokaro Steel City - 827 004 **Burdwan:** KFin Technologies Limited. Anima Bhavan, 1st Floor, Holding No.-42, Sreepally, G. T. Road, Burdwan - 713103, West Bengal **Calicut:** KFin Technologies Limited. Second Floor, Manimuriyil Centre Bank Road, Kasaba Village Calicut - 673 001 **Chandigarh:** KFin Technologies Limited. First floor, SCO 2469-70 Sector 22-C Chandigarh - 160022 **Chennai:** KFin Technologies Limited. Flat No F11, First Floor, Akshya Plaza, (Erstwhile Harris Road), Opp Chief City Metropolitan Court, #108, Adhithanar Salai, Egmore, Chennai - 600002 **Chinsura:** KFin Technologies Limited. 96, DOCTORS LANE PO: CHINSURAH, DT: HOOGHLY Chinsura - 712101 **Cochin:** KFin Technologies Limited. Building Nos.39 Ali Arcade, 1st floor, Near Atlantis Junction, Kizhvana Road, Panampili Nagar, Cochin-682 036 Ernakulam District **Coimbatore:** KFin Technologies Limited. 3rd Floor, 1057 Jaya Enclave, Avanashi Road Coimbatore- 641018 **Cuttack:** KFin Technologies Limited. SHOP NO-45, 2ND FLOOR, NETAJI SUBAS BOSE ARCADE BIG BAZAR BUILDING, ADJACENT TO RELIANCE TRENDS DARGHA BAZAR Cuttack - 753001 **Darbhanga:** KFin Technologies Limited. 2nd Floor Raj Complex Near Poor Home Darbhanga-846 004 **Davangere:** KFin Technologies Limited. D.No 162/6 , 1st Floor, 3rd Main, P J Extension Davangere taluk, Davangere Mandal Davangere: 577002 **Dehradun:** KFin Technologies Limited. Shop No-809/799 , Street No-2 A Rajendra Nagar Near Sheesha Lounge, Kaulagarh Road Dehradun - 248 001 **Deoria:** KFin Technologies Limited. K. K. Plaza, Above Apurwa Sweets Civil Lines Road Deoria- 274001 **Dhanbad:** KFin Technologies Limited. 208, New Market, 2nd Floor, Katras Road, Bank More, Dhanbad - 826001 **Dhule:** KFin Technologies Limited. Ground Floor Ideal Laundry, Lane No 4 Khol Galli, Near Muthoot Finance Opp Bhavasar General Store Dhule-424001 **Durgapur:** KFin Technologies Limited. MWAV-16 Bengal Ambuja 2ndFloor, City Centre, Dist: Burdwan Durgapur- 713216 **Eluru:** KFin Technologies Limited. DNO-23A-7-72/73K K S PLAZA MUNUKUTLA VARI STREET, OPP ANDHRA HOSPITALS, R R PETA ELURU-534 002 **Erode:** KFin Technologies Limited. No 38/1 Ground Floor, Sathy Road, (VCTV Main Road), Sorna Krishna Complex Erode - 638 003 **Faridabad:** KFin Technologies Limited. A-2B, 3rd Floor, Nehru Ground, Neelam Bata Road, Nit, Peer Ki Mazar, Faridabad - 121 001 **Ferozpur:** KFin Technologies Limited. The Mall Road, Chawla Building, 1st Floor, Opp. Centrail Jail, Near Hanuman Mandir Ferozpur City -152002 **Gandhidham:** KFin Technologies Limited. Shop # 12, Shree Ambica Arcade, Plot # 300 Ward 12. Opp. CG High School, Near HDFC Bank, Gandhidham - 370201 **Gandhinagar:** KFin Technologies Limited. 123, First Floor Megh Malhar Complex Opp. Vijay Petrol Pump Sector - 11 Gandhinagar - 382011 **Gaya:** KFin Technologies Limited. Property No 711045129, Ground Floor, Hotel Skylark, Swaraipuri Road, Gaya-823001, Bihar **Ghaziabad:** KFin Technologies Limited. FF - 31, Konark Building Rajnagar Ghaziabad - 201003 **Ghazipur:** KFin Technologies Limited. House No. 148/19, Mahua Bagh Raini Katra Ghazipur-233 001 **Gonda:** KFin Technologies Limited. House No. 782, Shiv Sadan, ITI Road Near Raghukul Vidya Peeth, Civil Lines Gonda-271 001 **Gorakhpur:** KFin Technologies Limited. Shop No. 8-9, 4th floor Cross Mall Gorakpur - 273 001 **Gulbarga:** KFin Technologies Limited. H NO 2-231, KRISHNA COMPLEX 2ND FLOOR Opp. Municipal corporation Office, Jagat Station Main Road, Kalaburagi Gulbarga: 585105 **Guntur:** KFin Technologies Limited. 2nd Shatter, 1st Floor Hno. 6-14-48, 14/2 Lane, Arundal Pet Guntur -522002 **Gurgaon:** KFin Technologies Limited. 2nd Floor, Vipul Agora M. G. Road Gurgaon - 122001 **Guwahati:** KFin Technologies Limited. Ganapati Enclave, 4th Floor Opposite Bora service, Ullubari Guwahati - 781007 **Gwalior:** KFin Technologies Limited. City Centre Near Axis Bank Gwalior - 474 011 **Haldwani:** KFin Technologies Limited. Shop No. 5, KMVN Shopping Complex Haldwani - 263139 **Haridwar:** KFin Technologies Limited. Shop No. - 17, Bhatia Complex Near Jamuna Palace Haridwar-249 410 **Hassan:** KFin Technologies Limited. HEMADRI ARCADE, 2ND MAIN ROAD SALGAME ROAD NEAR BRAHMINS BOYS HOSTEL Hassan - 573201 **Hissar:** KFin Technologies Limited. Shop No. 20, Ground Floor, R D City Centre, Railway Road, Hissar - 125001 **Hoshiarpur:** KFin Technologies Limited. The Mall Complex Unit # SF-6, 2nd Floor, Opposite Kapila Hospital, Sutheri Road, City- Hoshiarpur, Punjab, Pin Code - 146001 **Hubli:** KFin Technologies Limited. R R MAHALAXMI MANSION, ABOVE INDUSIND Bank, 2ND FLOOR, DESAI CROSS, PINTO ROAD, Hubballi 580029 **Hyderabad:** KFin Technologies Limited. No. 303, Vamsee Estates Opp: Bigbazaar, Ameerpet Hyderabad - 500 016 **Indore:** KFin Technologies Limited. 101, Diamond Trade centre 3-4 Diamond Colony, New Palasia, Above khurana Bakery Indore - 452001 **Jabalpur:** KFin Technologies Limited. 2nd Floor, 290/1 (615-New) Near Bhavartal Garden Jabalpur - 482001 **Jaipur:** KFin Technologies Limited. Office No 101, 1st Floor, Okay Plus Tower, Next to Kalyan Jewellers, Government Hostel Circle, Ajmer Road, Jaipur - 302 001 **Jalandhar:** KFin Technologies Limited. Office No 7, 3rd Floor City Square building, E-H197 Civil Lines Jalandhar - 144 001 **Jalgaon:** KFin Technologies Limited. 3rd floor, 269 JAE Plaza Baliram Peth near Kishore Agencies Jalgaon - 425 001 **Jalpaiguri:** KFin Technologies Limited. D.B.C. Raod, Near Rupasree Cinema Hall, Opp to Nirala Hotel, Beside Kalamandir, Po & Dist Jalpaiguri Jalpaiguri - 735101 **Jammu:** KFin Technologies Limited. 304, A-1, 03rd Floor North Block, Bahu Plaza Jammu - 180004 **Jamnagar:** KFin Technologies Limited. Office No 131, 1st Floor Madhav Plaza Opp SBI Bank, Nr. LAL Bungalow Jamnagar - 361001 **Jamshedpur:** KFin Technologies Limited. Madhukunj, 3rd Floor Q Road, Sakchi, Bistupur Jamshedpur - 831 001 **Jhansi:** KFin Technologies Limited. 1st Floor, Puja Tower, Near 48 Chambers ELITE Crossing Jhansi - 284 001 **Jodhpur:** KFin Technologies Limited. Shop No. 6, GROUND FLOOR, GANG TOWER OPPOSITE ARORA MOTER SERVICE CENTRE, NEAR BOMBAY MOTER CIRCLE, Jodhpur - 342 003 **Junagadh:** KFin Technologies Limited. Shop No. 201, 2nd Floor, V-ARCADE Complex Near vanzari chowk, M.G. Road Junagadh - 362001 **Kannur:** KFin Technologies Limited. 2ND FLOOR, GLOBAL VILLAGE, BANK ROAD, KANNUR - 670001, Kerala

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## K-Fin Technologies Collection Centers

**Kanpur:** KFin Technologies Limited. 15/46, Ground Floor, Opp: Muir Mills, Civil Lines, Kanpur - 208001 **Karimnagar:** KFin Technologies Limited. 2nd Shutter, H.No. 7-2-607 Sri Matha Complex Mankammathota Karimnagar-505001 **Karnal:** KFin Technologies Limited. 18/369, Char Chaman Kunjpura road, Behind Miglani Hospital, Karnal-132001 **Karur:** KFin Technologies Limited. No 88/11, BB plaza NRMP street, K S Mess Back side Karur - 639002 **Kharagpur:** KFin Technologies Limited. Holding No 254/220, SBI BUILDING Malancha Road, Ward No.16, PO: Kharagpur, PS: Kharagpur, Dist: Paschim Medinipur Kharagpur-721301 **Kolhapur:** KFin Technologies Limited. 605/1/4 E Ward, Near Sultane Chambers, Shahupuri 2nd Lane, Lakshmi Niwas Kolhapur 416001 **Kolkata:** KFin Technologies Limited. Apeejay House (Beside Park Hotel) 15 Park Street, C Block, 3rd Floor Kolkata-700016, West Bengal, India **Kollam:** KFin Technologies Limited. GROUND FLOOR, NARAYANAN SHOPPING COMPLEX, KAUSTHUBHSREE BLOCK, Kadapakada Kollam - 691008 **Kota:** KFin Technologies Limited. D-8, SHRI RAM COMPLEX OPPOSITE MULTI PURPOSE SCHOOL, GUMANPURA, Kota - 324007 **Kottayam:** KFin Technologies Limited. 1st Floor Csiascension Square Railway Station Road Collectorate P O Kottayam - 686 002 **Kurnool:** KFin Technologies Limited. Shop No.47, 2nd Floor S komda Shopping mall Kurnool-518 001 **Lucknow:** KFin Technologies Limited. 1st Floor, A. A. Complex 5 Park Road, Hazratganj, Thaper House Lucknow - 226001 **Ludhiana:** KFin Technologies Limited. Second floor, SCO 122, Above Hdfc Mutual fund, Feroze Gandhi Market Ludhiana - 141001 **Madurai:** KFin Technologies Limited. G-16/17, AR Plaza, 1st floor, North Veli Street, Madurai - 625001 **Malda:** KFin Technologies Limited. RAM KRISHNA PALLY; GROUND FLOOR ENGLISH BAZAR MALDA - 732101 **Mangalore:** KFin Technologies Limited. Mahendra Arcade Opp Court Road Karangal Padi Mangalore - 575 003 **Margao:** KFin Technologies Limited. SHOP NO 21, OSIA MALL, 1ST FLOOR NEAR KTC BUS STATION, SGDPA MARKET COMPLEX Margao-Goa -403601 **Mathura:** KFin Technologies Limited. Shop No. 9, Ground Floor Vihari Lal Plaza, Opposite Brijwasi Centrum Near New Bus Stand Mathura - 281001 **Meerut:** KFin Technologies Limited. H No 5, Purva Eran Opp Syndicate Bank, Hapur Road Meerut - 250 001 **Mehsana:** KFin Technologies Limited. FF-21, Someshwar Shopping Mall, Modhera Char Rasta, Mehnsana-384002 **Mirzapur:** KFin Technologies Limited. Triveni Campus, Near SBI Life Ratanganj Mirzapur-231001 **Moga:** KFin Technologies Limited. 1st Floor, Dutt Road, Mandir Wali Gali Civil Lines, Barat Ghar Moga-142001 **Moradabad:** KFin Technologies Limited. Chadha Complex, G. M. D. Road Near Tadi Khana, Chowk Moradabad - 244 001 **Morena:** KFin Technologies Limited. House No. HIG 959, Near Court Front of Dr. Lal Lab, Old Housing Board Colony Morena -476 001 **Mumbai:** KFin Technologies Limited. Office number: 01/04 24/B, Raja Bahadur Compound Ambalal Doshi Marg, Behind Bombay Stock Exchange, Fort Mumbai - 400001 **Muzaffarpur:** KFin Technologies Limited. First Floor Saroj Complex Diwam Road, Near Kalyani Chowk Muzaffarpur-842001 **Mysore:** KFin Technologies Limited. NO 2924, 2ND FLOOR, 1ST MAIN, 5TH CROSS SARASWATHI PURAM Mysore - 570 009 **Nadiad:** KFin Technologies Limited. 311-3rd Floor City Center Near Paras Circle Nadiad - 387001 **Nagercoil:** KFin Technologies Limited. HNO 45, 1st Floor East Car Street, Nagarcoil - 629001 **Nagpur:** KFin Technologies Limited. Block No. B / 1 & 2, Shree Apratmet Plot No. 2, Khare Town Mata Mandir Road, Dharampeth Nagpur - 440 010 **Nanded:** KFin Technologies Limited. Shop No. 4, First Floor, Opp. Bank Of India Santkrupa Market, Gurudwara Road Nanded-431601 **Nasik:** KFin Technologies Limited. S-9, Second Floor, Suyojit Sankul, Sharanpur Road, Nasik, Maharashtra - 422002 **Navsari:** KFin Technologies Limited. 103, 1ST FLOOR LANDMARK MALL NEAR SAYAJI LIBRARY, Navsari - 396 445 **New Delhi:** KFin Technologies Limited. 305 New Delhi House 27 Barakhamba Road New Delhi-110 001 **Noida:** KFin Technologies Limited. F-21, 2nd Floor, Near Kalyan Jewelers Sector-18 Noida - 201301 (U.P) **Palghat:** KFin Technologies Limited. No.20 & 21, Metro Complex, Head Post Office Road, Sultanpet, Palghat - 678001 **Panipat:** KFin Technologies Limited. 3rd Floor, Preet Tower Behind Akash Institute G.T. Road Panipat - 132103 **Panjim:** KFin Technologies Limited. H. No: T-9, T-10, Affran plaza, 3rd Floor, Near Don Bosco High School, Panjim Goa, 403001 **Pathankot:** KFin Technologies Limited. 2nd Floor, Sahni Arcade Complex Adj. Indra colony Gate Railway Road, Pathankot - 145001 **Patiala:** KFin Technologies Limited. B- 17/423 Opp Modi College, Lower Mal Patiala 147001 **Patna:** KFin Technologies Limited. 3A, 3rd floor, Anand tower, Opp ICICI Bank Beside chankya cinema hall; Exhibition road Patna - 800001 **Pondicherry:** KFin Technologies Limited. No -122(10b), Muthumariamman koil street, Pondicherry - 605 001 **Pune:** KFin Technologies Limited. Office no 207-210, 2nd Floor Kamla Arcade, Jangli Maharaj Rewa-486 001 **Rohtak:** KFin Technologies Limited. Shop No 14, Ground Floor Ashoka Plaza, Delhi Road Rohtak - 124001 **Roorkee:** KFin Technologies Limited. Shree Ashadeep Complex 16, Tyagi Dairy Road Civil Lines, Near Income Tax Office Roorkee - 247 667 **Rourkela:** KFin Technologies Limited. 2nd Floor, Main Road UDIT NAGAR Rourkela - 769 012 **SUNDARGARH:** **Sagar:** KFin Technologies Limited. II floor, Above shiva kanch mandir 5 civil lines Sagar-470002 **Salem:** KFin Technologies Limited. No.6 NS Complex Omalur Main Road Salem-636009 **Sambalpur:** KFin Technologies Limited. SAHEJ PLAZA; First Floor; Shop No. 219 Golebazar Sambalpur-768001 **Satna:** KFin Technologies Limited. Jainam Market, Purana Power House Chauraha Panni Lal Chowk Satna (M.P) -485 001 **Shillong:** KFin Technologies Limited. Annex Mani Bhawan Lower Thana Road, Near R K M Lp School Shillong - 793 001 **Shimla:** KFin Technologies Limited. 1st Floor, Hills View Complex Near Tara Hall Shimla - 171 001 **Shimoga:** KFin Technologies Limited. JAYARAMA NILAYA, 2ND CORSS, MISSION COMPOUND, SHIMOGA 577201 **Shivpur:** KFin Technologies Limited. Near Hotel Vanasthali, In Front of Sawarkar Park, A. B. Road, Shivpur Shivpur-473 551 **Sikar:** KFin Technologies Limited. 1st Floor, Super Towers, Near Taparyia Bagichi Behind Ram Mandir, Station Road Sikar-332001 **Silchar:** KFin Technologies Limited. 1st Floor, Chowchakra Complex, N N Dutta Road, Premtala Silchar - 788001 **Siliguri:** KFin Technologies Limited. 2nd Floor, Nanak Complex Sevoke Road, Siliguri - 734001 **Sitapur:** KFin Technologies Limited. 12/12, Surya Complex Station Road Sitapur - 261001 **Solan:** KFin Technologies Limited. Disha Complex, 1st Floor Above Axis Bank, Rajgarh Road Solan-173 212 **Solapur:** KFin Technologies Limited. Block No 06, Vaman Nagar, Opp D-Mart Jule Solapur-413 004 **Sonepat:** KFin Technologies Limited. Shop no. 205 PP Tower Opp income tax office, Subhash chowk Sonepat-131001 **Sri Ganganagar:** KFin Technologies Limited. Shop No. 5, Opposite Bihani Petrol Pump NH - 15, near Baba Ramdev Mandir Sri Ganga Nagar - 335001 **Srikakulam:** KFin Technologies Limited. D No 4-4-97, First Floor Behind Sri Vijayaganapathi Temple, Pedda relli veechi, Palakonda Road Srikakulam - 532001 **Sultanpur:** KFin Technologies Limited. 1st Floor, Ramashanker Market Civil Line Sultanpur-228 001 **Surat:** KFin Technologies Limited. Office no: -516, 5th Floor, Empire State building, Near Udhna Darwaja, Ring Road, Surat-395002 **Tirunelveli:** KFin Technologies Limited. Jeney Building, 55/18, S N Road, 2nd Floor Near Arvind Eye Hospital Tirunelveli - 627 001 **Tirupathi:** KFin Technologies Limited. H.No:10-13-425, 1st Floor, Tilak Road, Tilak Road, Opp: Sridevi Complex, Tirupati - 517501 **Tiruvalla:** KFin Technologies Limited. 2nd Floor, Erinjery Complex, Opp Axis Bank, Near Kotak Securities, Ramanchira Tiruvalla - 689107 **Trichur:** KFin Technologies Limited. 4TH FLOOR, CROWN TOWER, SHAKTHAN NAGAR, OPP. HEAD POST OFFICE THRISSUR - 680001 **Trichy:** KFin Technologies Limited. No 23C/1 E V R road, Near Vekkaliyam Kalyana Mandapam, Putthur Trichy - 620 017 **Trivandrum:** KFin Technologies Limited. MARVEL TOWER, 1ST FLOOR, URA-42 (UPPALLAM ROAD RESIDENCE ASSOCIATION) STATUE, TRIVANDRUM-695001 **Tuticorin:** KFin Technologies Limited. No 4B/A-34, Mani nagar Mangal Mall Palayamkottai Road Tuticorin - 628003 **Udaipur:** KFin Technologies Limited. Shop No. 202, 2nd Floor business centre 1C Madhuvan, Opp G P O Chetak Circle Udaipur-313001 **Ujjain:** KFin Technologies Limited. Heritage Shop No. 227,87 Vishvavidhyalaya Marg Station Road, Near ICICI bank Above Vishal Megha Mart Ujjain-456001 **Valsad:** KFin Technologies Limited. 406 Dreamland Arcade Opp Jade Blue, Tithal Road Valsad - 396001 **Vapi:** KFin Technologies Limited. A-8, Second Floor, Solitaire Business Center, Opp DCB Bank, GIDC Char rastha, Silvassa Road, Vapi - 396191 **Varanasi:** KFin Technologies Limited. D-64/132 KA , 2nd Floor Anant Complex, Sagra Varanasi - 221 010 **Vellore:** KFin Technologies Limited. No 2/19, 1st floor, Vellore city centre, Anna salai, Vellore 632001 **Vijayawada:** KFin Technologies Limited. Hno 26-23, 1st Floor Sundarammastreet, Gandhinagar Vijayawada - 520 003 **Visakhapatnam:** KFin Technologies Limited. 48-10-40, GROUND FLOOR, SURYA RATNA ARCADE, SRINAGAR, OPP ROADTO LALITHA JEWELLER SHOWROOM BESIDE TAJ HOTEL LADGE, VISAKHAPATNAM - 530016 **Warangal:** KFin Technologies Limited. Shop No22, Ground Floor Warangal City Center, 15-1-237 Mulugu Road Junction Warangal - 506002 **Yamuna Nagar:** KFin Technologies Limited. B-V, 185/A, 2nd Floor, Jagadri Road, Near DAV Girls College, (UCO Bank Building) Pyara Chowk Yamuna Nagar-135 001 **Vashi:** KFin Technologies Limited Vashi Plaza, Shop no. 324,C Wing 1st Floor, Sector 17, Vashi Mumbai - 400705 **Vile Parle:** KFin Technologies Limited Shop No.1 Ground Floor, Dipti Jyothi Co-operative Housing Society, Near MTNL office P M Road, Vile Parle (East), Mumbai - 400057 **Borivali:** KFin Technologies Limited Gomati Smuti, Ground Floor, Jambli Gully, Near Railway Station, Borivali (West), Mumbai - 400 092 **Thane:** KFin Technologies Limited Room No. 302 3rd Floor, Ganga Prasad Near RBL Bank Ltd, Ram Maruti Cross Road, Naupada Thane West Mumbai - 400602 **Nungambakkam:** KFin Technologies Limited No 23, Cathedral Garden Road Nungambakkam Chennai - 600034

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