



# Key Information Memorandum

## QUANTUM INDIA ESG EQUITY FUND

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

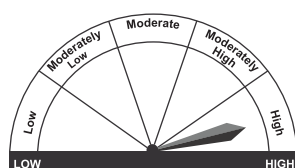
Offer for Units of ₹10/- per unit for cash during the New Fund Offer Period and at NAV based prices upon re-opening

**New Fund Offer Opens on: June 21, 2019**

**New Fund Offer Closes on: July 5, 2019**

**Scheme reopens for continuous sale and repurchase on: July 19, 2019**

### PRODUCT LABEL

Name of the Scheme	This product is suitable for investors who are seeking*	Riskometer
<b>Quantum India ESG Equity Fund</b>  (An Open ended equity scheme investing in companies following Environment, Social and Governance (ESG) theme)	<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 High Risk</p>

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

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

### KEY INFORMATION MEMORANDUM

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

#### Quantum Asset Management Company Private Limited

Regd. office - 7th floor, Hoechst House, Nariman Point, Mumbai - 400021, India

Toll Free No.:1800-209-3863 / 1800-22-3863, Telephone No.:91-22-61447800, Toll Free Fax No.:1800-22-3864

Email: [Customercare@QuantumAMC.com](mailto:Customercare@QuantumAMC.com), Website: [www.QuantumMF.com](http://www.QuantumMF.com), CIN: U65990MH2005PTC156152

## Quantum India ESG Equity Fund

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

### Investment Objective

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.

### Category Of Scheme

Thematic Scheme

### Asset Allocation Pattern of the scheme

The asset allocation under the Scheme, under normal circumstances, will be as follows:

Instruments	Indicative Allocation (% of Total Assets)		Risk Profile
	Minimum	Maximum	
Equity & Equity Related Instruments of Companies following ESG Criteria	80	100	High
Money Market Instruments & Liquid Schemes of Mutual Funds	0	20	Low

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.

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.

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.

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

### Investment Strategy

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.

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.

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.

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.

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.

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.

### 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:

1. Risk associated with investment in Equity and Equity related Securities.
2. Investments in mutual fund units involve investment risk such as Liquidity risk, Equity and equity-related risk, Price risk & Allocation risk.
3. Risks associated with stock lending.
4. Risk Factors Associated with Fixed Income and Money Market Instruments.

### Risk Management Strategies

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

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

Type of Risks	Risk Management Strategies
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.

### Plans and Options

The Scheme offers two plans :

- (i) Direct Plan
- (ii) Regular Plan

Each Plan offers Growth Option.

The income attributable to Units under Growth Option will continue to remain invested and will be reflected in the Net Asset Value of Units under 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 (after the scheme opens for repurchase and sale)**

The cut-off times for determining Applicable NAV's for subscription, redemptions and switches to be made at the Investor Service Centres/ Official Points of Acceptance from time to time are as per the details given below:

**SUBSCRIPTION/PURCHASE INCLUDING SWITCH-INS:-****1. Purchases for an amount of Rs.2 lakh and above:**

- a. In respect of valid application received up to 3.00 p.m. on a Business Day with RTGS / NEFT /Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received / Cash Card/Debit Card /IMPS/ One Time

Mandate NACH and funds for the entire amount of subscription/ purchase as per the application are credited to the bank account of the Scheme and are available for utilization before the cut-off time ( 3.00 p.m.), the closing NAV of the day on which the funds are available for utilisation shall be applicable;

- b. In respect of valid application received after 3.00 p.m. on a Business Day with RTGS / NEFT /Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received / Cash Card/Debit Card /IMPS/ One Time Mandate NACH and funds for the entire amount of subscription / purchase as per the application are credited to the bank account of the Scheme and available for utilization before the cut-off time (3.00 p.m.) of the next Business Day, the closing NAV of the next Business Day shall be applicable;

- c. However, irrespective of the time of receipt of application, where the funds are not available for utilisation on the day of the application, the closing NAV of the Business Day on which the funds are available for utilisation before the cut-off time (3:00 p.m.) shall be applicable provided the application is received prior to availability of the funds.

**2. Purchases/switch-in for amount of less than Rs. 2 lakh:**

- a. Where the application is received up to 3.00 pm on a Business Day with RTGS / NEFT /Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received / Cash Card/Debit Card /IMPS/ UPI / One Time Mandate NACH - closing NAV of the day of receipt of application shall be applicable;

- b. Where the application is received after 3.00 pm on a Business Day with RTGS / NEFT /Fund Transfer / Local Cheque / Demand Draft payable at par at the place where it is received / Cash Card/Debit Card /IMPS/ UPI / One Time Mandate NACH closing NAV of the next Business Day shall be applicable; and

- c. Where the application is received with an outstation cheque or demand draft which is not payable on par at the place where it is received the closing NAV of day on which the funds for the cheque or demand draft is credited to the account of Scheme shall be applicable.

**REDEMPTIONS 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.

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

- a) Initial purchase : Rs. 500 /- and in multiples of Rs. 1 thereafter
- b) Additional Purchase : Rs. 500 /- and in multiples of Rs.1 thereafter / 50 units  
The provision for Minimum Application amount will not be applicable in case of Systematic Investment Plan (SIP) / Systematic Transfer Plan (STP)
- c) Redemption / Switches: Rs.500 /- and multiple of Rs.1 thereafter OR accounting balance whichever is less / 50 units.

**SYSTEMATIC INVESTMENT PLAN (SIP) (Available during continuous offer and not during NFO period)**

Frequency Available Under SIP	Daily	Weekly	Fortnightly	Monthly	Quarterly
<b>Minimum Amount</b>	Rs. 100/- and in multiples of Rs. 1/- thereafter	Rs. 500/- and in multiples of Rs. 1/- thereafter	Rs. 500/- and in multiples of Rs. 1/- thereafter	Rs. 500/- and in multiples of Rs. 1/- thereafter	Rs. 500/- and in multiples of Rs. 1/- thereafter
<b>Minimum No. of Installments / Instructions</b>	132	25	13	6	4
<b>Frequency of dates</b>	Daily - All Business Days Weekly - 7, 15, 21, 28 Fortnightly - 5 & 21 OR 7 & 25 Monthly / Quarterly - 5, 7, 15, 21, 25, 28				

**SYSTEMATIC TRANSFER PLAN (STP) (Available during continuous offer)**

Frequency Available Under STP	Daily	Weekly	Fortnightly	Monthly	Quarterly
<b>Minimum Amount</b>	Rs. 100/- and in multiples of Rs. 1/- thereafter	Rs. 500/- and in multiples of Rs. 1/- thereafter	Rs. 500/- and in multiples of Rs. 1/- thereafter	Rs. 500/- and in multiples of Rs. 1/- thereafter	Rs. 500/- and in multiples of Rs. 1/- thereafter
<b>Minimum No. of Installments / Instructions</b>	132	25	13	6	4
<b>Frequency of dates</b>	Daily - All Business Days Weekly - 7, 15, 21, 28 Fortnightly - 5 & 21 OR 7 & 25 Monthly / Quarterly - 5, 7, 15, 21, 25, 28				
<b>Minimum Balance to Start STP</b>	Rs.5000/-				

**SYSTEMATIC WITHDRAWAL PLAN (SWP) (Available during continuous offer)**

Frequency Available Under SWP	Weekly	Fortnightly	Monthly	Quarterly
<b>Minimum Amount</b>	Rs.500/- and in multiples of Rs. 1/- thereafter	Rs.500/- and in multiples of Rs. 1/- thereafter	Rs.500/- and in multiples of Rs. 1/- thereafter	Rs.500/- and in multiples of Rs. 1/- thereafter
<b>Minimum No. of Installments / Instructions</b>	25	13	6	4
<b>Frequency of dates</b>	Weekly - 7, 15, 21, 28 Fortnightly - 5 & 21 OR 7 & 25 Monthly / Quarterly - 5, 7, 15, 21, 25, 28			
<b>Minimum Balance to Start SWP</b>	Rs.5000/-			

**Despatch 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.

**Benchmark Index**

Nifty 100 ESG Total Return Index

**Dividend Policy**

Not Applicable, as the Scheme does not have Dividend Option

**Name of the Fund Managers & Tenure of Managing the scheme**

Mr. Chirag Mehta - Fund Manager  
Ms. Sneha Joshi - Associate Fund Manager  
Tenure of the Fund Manager: This is the new scheme - Not Available

**Name of the Trustee Company**

Quantum Trustee Company Private Limited

**Performance of the scheme as on**

This scheme does not have any performance track record.

**Scheme Portfolio Holdings , Sector Allocation and Portfolio Turnover Ratio for last one year**

This is a new scheme, this is not available.

## Expenses of the Scheme

### (i) Load Structure

Entry Load : Not Applicable

Exit Load: 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%; and

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.**

### (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 Rs.500 Crores of the daily net assets	2.25
On the next Rs.250 Crores of the daily net assets	2.00
On the next Rs.1,250 Crores of the daily net assets	1.75
On the next Rs.3,000 Crores of the daily net assets	1.60
On the next Rs.5,000 Crores of the daily net assets	1.50
On the next Rs.40,000 Crores of the daily net assets	Total expense ratio reduction of 0.05% for every increase of Rs.5,000 Crores of daily net assets or part thereof
On balance of the assets	1.05

The AMC has estimated that the above expense will be charged to the Scheme as permitted under Regulation 52 of SEBI (Mutual Funds) Regulations, 1996. For actual current expense being charged, the investor should refer to the website of the Mutual Fund viz. [www.QuantumAMC.com](http://www.QuantumAMC.com) / [www.QuantumMF.com](http://www.QuantumMF.com)

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.

Brokerage and transaction cost incurred for the purpose of execution of trade will be capitalized to the extent of 0.12% for cash market transactions. Brokerage and transaction costs exceeding of 0.12% for cash market transactions if any will not be charged to the scheme as part of TER and shall be borne by the AMC.

Regular Plan expense ratio will be higher of upto 0.50% inclusive of Statutory Levies and Applicable Taxes (if any) in comparison of Direct Plan, wherein distributor commission for distribution of units will be paid / charged under the Regular Plan.

## 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

The AMC will calculate and disclose the first NAV(s) of the scheme not later than 5 (five) Business Days from the date of allotment. Thereafter, As per SEBI Mutual Fund regulations NAV shall be calculated and disclosed on every Business Day 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 9 pm every business day.

Investors may obtain latest NAV through SMS by writing to AMC.

## For Investor Grievances please contact

Registrars & Transfer Agent: Karvy Fintech Private Limited Unit: Quantum Mutual Fund, Karvy Selenium, Tower B, Plot number 31 & 32 Financial, District - Nanakramguda, Serilingampally Mandal, Hyderabad - 500032 Phone: +91 - 040-23312454	Investor queries and complaints constitute an important voice of Investor, and to this effect the AMC has formulated a Grievance Redressal Policy (which can be viewed at <a href="http://www.QuantumMF.com">www.QuantumMF.com</a> ) Mr. Harshad Chetanwala - Head Customer Delight for any queries / clarifications and Ms. Meera Shetty - Investor Relation Officer for any complaint / grievance can be contacted at Quantum Asset Management Company Private Limited 7th Floor, Hoechst House, Nariman Point, Mumbai - 400021, email - <a href="mailto:customercare@QuantumAMC.com">customercare@QuantumAMC.com</a> , Telephone number - 1800 209 3863 / 1800 22 3863 (Toll Free), Fax number 022 - 1800 22 3864 (Toll Free).
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## Unitholders' Information

### Account Statement / Allotment Confirmation :

- All the Applicants whose cheques / subscription amount towards purchase of Units have been realised will receive a full and firm allotment of Units, provided that the applications are complete in all respects and are found to be in order. The Trustee retains the sole and absolute discretion to reject any application. The process of allotment of Units in demat or physical mode (as opted by the investor / unit holder in the application form) and sending of allotment confirmation by way of email and / or Short Messaging Service (SMS) (if the mobile number is not registered under Do Not Call Registry) specifying the number of units will be completed within 5 Business Days from the date of closure of the NFO period. The said allotment confirmation will be sent to the investors / unit holders registered email address and / or mobile number.
- On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted by way of email and/or SMS (if the mobile number is not registered under Do Not Call Registry) within 5 Business Days from the date of receipt of transaction request.
- Thereafter, a Consolidated Account Statement (CAS) for each calendar month shall be sent by mail / email on or before 10th of the succeeding month to the unit holders by the Depository for unit holders having Mutual Fund investments and holding demat account and by the AMC / Registrar for unit holders having Mutual Fund investments but do not have demat account for each calendar month in whose folios transactions have taken place during the month.
- The investor may request for a physical Account Statement by writing / calling to the AMC / Investor Service Center / Registrar & Transfer Agent. The AMC and Mutual Fund shall provide the physical Account Statement to the investor within 5 Business Days from the receipt of such request without any charges.

For more information of account statement please refer Scheme Information Document.

### 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:

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

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

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

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

### 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. March 31 and on September 30), 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 and a regional newspaper published in the language of the region where the Head Office of the Mutual Fund is situated.

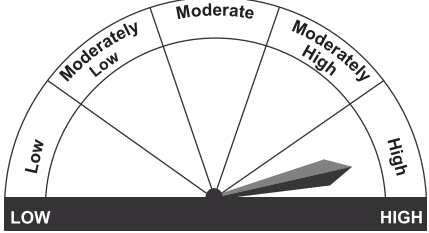


**Comparison With Existing Equity Schemes :**

Scheme Name	Asset Allocation Pattern					Primary Investment Pattern	Differentiation	AUM Rs. In Crores As on May 31, 2019	No. of Folios as on May 31, 2019
<p align="center"><b>Quantum Long Term Equity Value Fund</b></p>	Instruments	Normal allocation (% of Net Assets)	Minimum allocation (% of Net Assets)	Maximum allocation (% of Net Assets)	Risk profile	To invest primarily in shares of companies included in BSE-200 Index	Open ended equity scheme following a value investment strategy	981.72	37,047
	Listed Equity & Equity Related Securities of Companies	95% - 99%	65%	99%	High				
	Unlisted Equity & Equity Related Securities of Companies	0% - 3%	0%	5%	High				
	Money Market Instruments	1% - 5%	1%	35%	Low				
	Liquid Schemes of Mutual Funds	0% - 5%	0%	5%	Low				
<p align="center"><b>Quantum Tax Saving Fund</b></p>	Instruments	Indicative allocations (% of Total Assets)		Risk Profile	To invest primarily in shares of companies included in BSE-200 Index	Open ended Equity Linked Saving Scheme with a statutory lock-in of 3 years and tax benefit.	80.93	9,608	
		Minimum	Maximum						
	Equity and equity-related Securities	80%	100%	High					
Debt and money market instruments	0%	20%	Low to Medium						
<p align="center"><b>Quantum Nifty ETF</b></p>	Securities Covered	Indicative allocations (% of Total Assets)		Risk Profile	To invest in stocks of companies comprising Nifty 50 Index	Open ended scheme Replicating / tracking Nifty 50 Index	5.24	337	
		Minimum	Maximum						
	Securities Covered by the Nifty 50 Index	95%	100%	High					
Money Market Instruments	0%	5%	Low						

Dated: June1, 2019

**QUANTUM INDIA ESG EQUITY FUND**

CATEGORY OF SCHEME	THIS PRODUCT IS SUITABLE FOR INVESTORS WHO ARE SEEKING*	Riskometer
<p>(An Open ended equity scheme investing in companies following Environment, Social and Governance (ESG) theme)</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 High Risk</p>

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

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**2 GENERAL INSTRUCTIONS**

- Please read the Key Information Memorandum, Scheme Information Document (SID) of the respective scheme(s) and Statement of Additional Information (SAI) containing the terms of offer carefully before investing.
- Please Tick (✓) in the appropriate box (□), where boxes have been provided.
- Application Form should be filled legibly in ENGLISH in BLOCK letters using Black or Dark Blue ink. Incomplete application forms are liable to be rejected. Please 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.
- Please strike out any section that is not applicable. Correction/Cancellation on any of the information should be countersigned by the investor.
- All applicants are deemed to have accepted the terms subject to which the offer is being made and bind themselves to the terms upon signing the Application Form and tendering the payment.
- In case of applications under Power of Attorney or by a Limited Company or by a Corporate Body or Eligible Institution or a Registered Society or a Trust or a Fund the original Power of Attorney or the certified copy thereof duly notarised and the relevant resolution or authority to make the application, as the case may be including authority granted in favour of the officials signing the application and their specimen signature etc., or duly certified copy thereof along with a certified copy of the Memorandum and Articles of Association and/or bye-laws and/or trust deed and/or partnership deed and certificate of registration must be lodged at the 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.
- 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.
- 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.
- Investors who wish to make Systematic Investment Plan (SIP) will need to complete and submit the Application Form along with the SIP Application Form. (For Ongoing period only)
- 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.
- Quantum Mutual Fund investors will be provided with the Drop Box Facility to facilitate submission of the subscription application(s) without visiting the Official Point of Acceptance. Quantum Mutual Fund Drop Boxes will be available at various locations such as Housing Societies/ Railway Stations/ ATMs of the Bank etc. as disclosed on the homepage of our website www.QuantumAMC.com/ www.QuantumMF.com. Quantum Mutual Fund shall not be liable for any claims raised by the investors with regard to timing of the clearing of Cheque, incomplete documentation received, any delay arising in processing the transaction request or non-receipt of the cheque/ application form by the AMC.
- 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'.  
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.

**3 EXISTING UNITHOLDER INFORMATION**

An existing investor should mention the correct Folio Number & 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.

**4 A PERMANENT ACCOUNT NUMBER (PAN)**

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.

**B KNOW YOUR CUSTOMER (KYC)**

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:

- Individual investors.
- 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.
- Non-Resident Investors (NRIs), including Persons of Indian Origin (PIOs).

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 www.QuantumMF.com and AMFI website www.amfiindia.com 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.

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**

- 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.
- Name, Date of birth of the Minor, Name of Parent/Guardian and relationship with minor is mandatory for investment on behalf of a Minor applicant, proof of date of birth and relationship proof is mandatory.
- Name of the Contact Person, email and Telephone no. should be mentioned in case of investments by Company, Body Corporate, Trust, Society, FII and other non-individual applicants.
- The signature should be in English or in any of the Indian languages. Thumb Impressions must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal. Application by minor should be signed by the guardian. In case of H. U. F., the Karta should sign on behalf of the H. U. F.
- 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.
- 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.
- Investors must write the Application Form number / Folio number on the reverse of the cheques accompanying the Application Form.
- Name and address must be given in full (P.O. Box Address alone is not sufficient).  
In case of NRIs/FLIs 'Overseas Address' should also be provided failing which application may be rejected. In addition, Indian address should be stated for correspondence.
- 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/uploads/files/PWD\\_Act.pdf](http://disabilityaffairs.gov.in/upload/uploads/files/PWD_Act.pdf).
- 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.
- Please provide email ID & Mobile Number, this will help us send investment / product related communication and resolve any queries more promptly. This is compulsory for all electronic/telecommunication facilities available now and to be introduced in future.
- In the event the application has more than one investor and the mode of holding is 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 dividend/redemption will be paid to the first named holder.
- The minor shall be the first and the sole holder in an account. There shall not be any joint accounts with minor as the first or joint holder.
- Date of birth of the minor along with photocopy of supporting documents as enumerated below shall be mandatory while opening the account on behalf of minor:
  - Birth certificate of the minor, or
  - School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or
  - Passport of the minor, or
  - Any other suitable proof evidencing the date of birth of the minor.
- Guardian 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.
- 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.

**7 POWER OF ATTORNEY**

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

**8 E-MAIL/TELEPHONIC COMMUNICATION**

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.

**9 ELECTRONIC/TELECOMMUNICATION FACILITY**

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.

**10 BANK ACCOUNT DETAILS**

SEBI Regulations have made it mandatory for investors to mention the Bank Name & address of branch and Bank Account Number in their Investment application form in order to protect the interest of investors from fraudulent encashment of cheques. For registering multiple bank accounts please fill separate Form for Registering/ Adding/cancellation of Multiple Bank Accounts. Individuals / HUF can register upto 5 bank accounts and Non Individuals upto 10 bank accounts. Please attach either a Cancelled Cheque with first applicant name and account number pre-printed on the face of the cheque or a Bank Statement with current entries not older than 3 months or a Certified Bank Passbook with current entries not older than 3 months or a Bank Letter/Certificate duly signed by Bank Branch Manager/Authorized Personnel. If photocopy of any document is submitted, the copy should be certified by the Bank Manager or self attested copy along with Original documents for verification.

**ADDITIONALLY THE AMC MAY CALL FOR ANY ADDITIONAL DOCUMENTS, WHEREVER REQUIRED ON CASE TO CASE BASIS."**

In case the investor is a minor, the bank account details for redemption purpose should be of the minor i.e. the minor should be an account holder in the bank account.

**PAYMENT OF REDEMPTION /DIVIDEND:**

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/Dividend proceeds, if any, will be processed as per the last registered Bank account with the Fund.

In the case of NRIs, payments shall be:

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

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

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

Based on the above information AMC will enable secure transfer of your redemption and dividend payouts via the various electronic 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. ELECTRONIC CLEARING SERVICE (ECS) - ECS facility is available only in respect of dividend 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**

- As required by AMFI, Quantum Mutual Fund shall not accept applications for subscriptions with third party payment instruments.
- Investors may make payment by single Cheque/ DD payable locally in the city where the application form is submitted at Quantum AMC/ Karvy Collection Centers or electronic mode such as RTGS/NEFT directly to Mutual Fund Collection account
- 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.
- 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.
- The cheque should be drawn in favor of "Quantum Mutual Fund & PAN (number)" or Quantum (Scheme name) & PAN (number)" and crossed "Account Payee Only".
- Returned cheques will not be presented again for collection and the accompanying application will be rejected.
- Single cheque for investments in multiple schemes and multiple cheques for investments in Single Scheme will not be accepted.
- 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.
- NRI/PIO/FII's/FPI's  
Repatriation Basis - In the case of NRIs/ PIO, payment may be made either by inward remittance through normal banking channels or out of funds held in their Non-Resident (External) Rupee Account (NRE)/ Foreign Currency (Non-Resident) Account (FCNR). FII's / FPI's shall pay their subscription either by inward remittance through normal banking channels or out of funds held in Foreign Currency Account or Non-Resident Rupee Account maintained by the FII with a designated branch of an authorized dealer with the approval of the RBI.  
Non Repatriation Basis - In the case of NRIs, payment may be made either by inward remittance through normal banking channels or out of funds held in their NRE/FCNR/Non-Resident Ordinary Rupee Account (NRO). Please indicate by ticking the relevant account from which payment is being made.
- Please register additional banks through which you want to invest by filling and submitting Multiple Bank Mandate along with supporting documents.
- Payment through electronic mode DIRECT FUND TRANSFER/ RTGS/ NEFT/ IMPS:
  - For purchase through DIRECT FUND TRANSFER / RTGS / NEFT / IMPS, the investor needs to first complete the fund transfer formalities with the Bank.
  - After completing the fund transfer through DIRECT FUND TRANSFER / RTGS / NEFT / IMPS mode, the investor needs to mention the payment reference number under the section 'Payment Details' in the main application form.
  - Enclose the fund transfer proof along with the application form.

**12 NOMINATION DETAILS**

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

- The nomination can be made only by individuals applying for /holding units on their own singly or jointly. Non-individuals 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.
- 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.
- A Non-Resident Indian can be a Nominee subject to the exchange control regulations in force, from time to time.
- Nomination in respect of the units stands rescinded upon the redemption/ transfer/ transmission of units.
- Transmission of units in favour of a Nominee shall be a valid discharge by the Asset Management Company (AMC) against the legal heir.
- 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.
- 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 his units which are in demat mode in NSDL account, 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 by 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.

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.

Please note the Quantum Mutual Fund account details for the **DIRECT FUND TRANSFER / RTGS / NEFT / IMPS:**

Bank Name	Account Number	Beneficiary Name	Branch Address	IFSC Code	Bank A/c Type
HDFC BANK LTD	00602090002325	QUANTUM MF EPI AC	GROUND FLOOR JEHANGIR BUILDING M G ROAD FORT MUMBAI 400001	HDFC0000060	Current
AXIS BANK LTD	233010200008204	QUANTUM MUTUAL FUND COLLECTION AC	MAKER CHAMBER 4, 61, GROUND FLOOR, JAMNALAL BAJAJ ROAD, NARIMAN POINT, MUMBAI 400021	UTIB0000173	Current
YES BANK LTD	000485700000293	QUANTUM MUTUAL FUND COLLECTION AC	MITTAL CHAMBERS, NARIMAN POINT, MUMBAI 400021	YESB0000004	Current
STATE BANK OF INDIA	34175547847	QUANTUM MUTUAL FUND	DALAMAL HOUSE, JAMNALAL BAJAJ MARG, NARIMAN POINT MUMBAI 400 021	SBIN0006945	Current
KOTAK MAHINDRA BANK	3511536785	QUANTUM MUTUAL FUND	SHOP NO: 2, 3 & 3A, KISMET BUILDING, 81, NATHALAL PARIKH MARG, NEAR SASSOON DOCK, COLABA, MUMBAI 400 005	KKBK0000648	Current
ICICI BANK	000405033543	QUANTUM MF COLLECTION AC	215, FREE PRESS HOUSE, FREE PRESS MARG, NARIMAN POINT, MUMBAI 400021	ICIC0000004	Current
IDBI BANK	004102000028158	QUANTUM MF COLLECTION AC	MITTAL TOWER, 'C' WING, GROUND FLOOR, NARIMAN POINT, MUMBAI 400021	IBKL0000004	Current
IDFC FIRST BANK	10008901093	QUANTUM MUTUAL FUND COLLECTION AC	GROUND FLOOR NAMAN CHAMBERS, C-32, G-BLOCK, BANDRA-KURLA COMPLEX, BANDRA EAST, MUMBAI 400051	IDFB0040101	Current

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. 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.



**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 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

Note: If no NGO is/are selected then the contribution will be made to the HYNGO Foundation as Corpus. HYNGO Foundation will transfer 95% of funds to respective NGOs based on the contribution decided by the investors and will retain 5% of the funds as administrative and due diligence cost, in case of a NGOs is selected by the investors for contribution.  
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, by way of automatic redemption of units subject to minimum contribution amount of Rs.100/-.

Example for calculation :

(a) Holding as on September 30, 2017 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)

  1. Investor to select from a list of 7 NGOs at the time of initial request for opting the SMILE facility.
  2. Minimum 1 and Maximum 2 NGO can be selected.
  3. If no NGO is/are selected then the default NGO will be the HYNGO Foundation. In this case the investor has the option of selecting sector(s) (maximum 2) to which investor would like to contribute. HYNGO Foundation will then remit the contributed amount to the NGO(s) selected by HYNGO Foundation in the selected sector.
  4. Investors to prescribe a percentage (%) of contribution to be distributed to each NGO in the form.
  5. 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.

(ii) Investor Advised – Investor can contribute minimum amount of Rs. 500/- by way of redemption anytime from folio tagged with SMILE to NGOs. The details of NGOs available for donation are uploaded on the HYNGO Foundation website [www.helpyourngo.com](http://www.helpyourngo.com).

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.

**16 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.



# QUANTUM INDIA ESG EQUITY FUND

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

Offer for Units of ₹10/- per unit for cash during the New Fund Offer Period and at NAV based prices upon re-opening

New Fund Offer Opens on: June 21, 2019

New Fund Offer Closes on: July 5, 2019

Scheme reopens for continuous sale and repurchase on: July 19, 2019

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

	PAN/PEKRN (Refer Instruction no. 4A) please attach certified PAN copy	KYC Details (KIN Number)
1st Applicant /Minor		
2nd Applicant		
3rd 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/ 1st Applicant**  Mr.  Ms.  M/s.  Others \_\_\_\_\_ Please Specify \_\_\_\_\_

**Date of Birth/ Date of Incorporation**  D D M M Y Y Y Y **Proof of Date of Birth (In case of Minor)**  Birth Certificate  School Leaving Certificate  Passport  Others \_\_\_\_\_ Please Specify \_\_\_\_\_

**Guardian / Authorised Person** - (in case of Minor)/Authorised Person (in case of non individual applicant) \_\_\_\_\_

**Relationship with Minor**  Father  Mother  Others \_\_\_\_\_ Please Specify \_\_\_\_\_ **Relationship Proof (With specified Guardian)**  Birth Certificate  Passport  Others \_\_\_\_\_ Please Specify \_\_\_\_\_

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

**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

City \_\_\_\_\_ State \_\_\_\_\_ Country **I N D I A** Pin code \_\_\_\_\_

**Contact Details of Sole/ First Applicant** Mobile No. \_\_\_\_\_ Email ID \_\_\_\_\_  
Tel No - STD Code \_\_\_\_\_ Res. \_\_\_\_\_ Off. \_\_\_\_\_ Fax \_\_\_\_\_

**Overseas Address** (mandatory for NRI/FII applicant). Applications from investors residing in USA or Canada shall not be accepted Address for correspondence (for NRI applicants)  Indian  Overseas

City \_\_\_\_\_ Country \_\_\_\_\_ Zip code \_\_\_\_\_

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

**Name of 2nd Applicant**  Mr.  Ms.  M/s. \_\_\_\_\_  
Date of Birth  D D M M Y Y Y Y Mobile No. \_\_\_\_\_ Email ID \_\_\_\_\_

**Name of 3rd Applicant**  Mr.  Ms.  M/s. \_\_\_\_\_  
Date of Birth  D D M M Y Y Y Y Mobile No. \_\_\_\_\_ Email ID \_\_\_\_\_

## 5 \* KNOW YOUR CUSTOMER (KYC) DETAILS (Mandatory. Please Tick/Specify. The application is liable to get rejected if details not filled.)

Status details for	1 <sup>st</sup> Applicant	2 <sup>nd</sup> Applicant	3 <sup>rd</sup> Applicant	Guardian	Occupation details for	1 <sup>st</sup> Applicant	2 <sup>nd</sup> Applicant	3 <sup>rd</sup> Applicant	Guardian
Resident Individual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Private Sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NRI/PIO/OCI	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Public Sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sole Proprietorship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Government Service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Minor through Guardian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non Individual	<input type="checkbox"/> Company / Body	<input type="checkbox"/> Corporate	<input type="checkbox"/> Partnership	<input type="checkbox"/>	Professional	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> Trust	<input type="checkbox"/> Society	<input type="checkbox"/> HUF	<input type="checkbox"/>	Agriculturist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> Bank	<input type="checkbox"/> AOP	<input type="checkbox"/> FI / FII / FPI	<input type="checkbox"/>	Retired	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Others ( Please Specify )				Housewife	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				Student	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
				Other (Please specify)	_____	_____	_____	_____	
<b>Gross Annual Income Range (in Rs.)</b>					<b>Politically Exposed Person (PEP) details</b>				
Below 1 lac	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1 <sup>st</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1-5 lac	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2 <sup>nd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5-10 lac	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3 <sup>rd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10-25 lac	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guardian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25 lac-1 cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Authorised Signatories	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1-5 cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Promoters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5-10 cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Partners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
> 10 cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Karta	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>OR Networth in Rs.</b> (Mandatory for Non Individual) (not older than 1 year)	_____ as on _____	_____ as on _____	_____ as on _____	_____ as on _____	Whole-time Directors / Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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

Application No: **QMFP**

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



Date  D  D  M  M  Y  Y  Y  Y 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 \_\_\_\_\_  
Please note: All purchases are subject to realization of cheques (please refer Scheme Information Document)

Collection Center's Stamp & Receipt Date and Time

**6 POWER OF ATTORNEY (POA) (Refer Instruction Nos. 2(i) & 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/NEFT code will help us transfer the amount to your bank account quicker, electronically.

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

**8 \* INVESTMENT DETAILS (Please ✓) Choice of Scheme/Option/Facility (Refer Instruction No. 1)**

Scheme   
 Plan  Direct  Regular  
 Option

**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 a)

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	<input type="text" value="DDMMYY"/>	<input type="text" value="DDMMYY"/>	<input type="text" value="DDMMYY"/>
Relationship with Investor			
Address			
Guardian Name (in case Nominee is a Minor)			
Allocation % (Total to be 100%)			

**12 \* DEMAT ACCOUNT DETAILS (Please ✓)(Please refer Instruction no. 13)**  NSDL  CDSL

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  BENEFICIARY Account No. (NSDL Only) \_\_\_\_\_  
 CDSL \_\_\_\_\_

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:  Investor Advised (For Other Citizens\*)

	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 HYNCO 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.**

**Contact Us**

- WEBSITE : [www.QuantumMF.com](http://www.QuantumMF.com)
- EMAIL : [CustomerCare@QuantumAMC.com](mailto:CustomerCare@QuantumAMC.com)
- TOLL FREE HELPLINE : 1800 22 3863 / 1800 209 3863
- Missed Call Facility : 022-6829 3807
- SMS : <Quantum> to 9243 22 3863

- 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.
  - For Third Party payment - Third Party Declaration in the prescribed format along with the KYC acknowledgement issued by KRA for the Payer.
  - 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

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

Name of the Invested Scheme(s): \_\_\_\_\_

- I/We have asked, and have been explained and understood to my/our satisfaction all the features of the scheme(s) from the scheme related Documents (KIM/SID/SAI) that I/We have chosen to invest in and have understood all the Terms and Conditions of the scheme(s) and addenda of Quantum Mutual Fund.
- I/We confirm that I/We have reviewed and understood the Expense Ratio, Tax Implication, Cut-off time for subscription / redemption / Switch, Turnaround time for processing of transactions, Exit Load which will be calculated on First in First Out (FIFO) basis.
- I/We am/are also aware that investing in Mutual Fund schemes come with an inherent risk which I/We have also understood from the product label and Riskometer of the Scheme(s). I/We have not been paid any incentive or have not been promised any assured returns while investing in this scheme(s).
- I/We am/are aware of my own risk appetite, my/our time horizon for investment, my/our objective for investment and the investment objective, performance of the Scheme(s) and performance of the Benchmark of the scheme(s) and it is appropriate for me/us to undertake investment in the scheme(s). I/we confirm that the scheme(s) in which I/we am/are investing is appropriate for me/us keeping in mind the investment objective and risk of the scheme(s).
- I/We am/are also aware of the Charter of Investor Rights, Privacy Policy Grievance Redressal and Dispute Resolution Policy and procedure at Quantum Mutual Fund and am/are aware of whom to contact in case of any discrepancies.
- I/We hereby declare that I/We have understood the nature of questions in the Application Form and the importance of disclosing all the material information required. I/We declare the facts disclosed in the application and the acknowledgement forms are true and correct to the best of my/our knowledge.
- I/We hereby authorize you to verify / confirm details and documents submitted by me / us independently from my Banker and / or any source and / or through the independent third party appointed by you. In case, if any of the information / documents provided is found to be incorrect, you have the right to reject my application.

**DECLARATION:**

I/We have read and understood the terms & contents of the Scheme Information Document and Key Information Memorandum of the scheme and Statement of Additional Information 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 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 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 dividend payout / redemption amount to the bank details mentioned in the application form. 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, 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 HYNCO 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 HYNCO Foundation and then in turn by HYNCO 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/1st Applicant/Guardian / Authorised Signatory	2nd Applicant / Authorised Signatory	3rd Applicant / Authorised Signatory	POA Signatory
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# ASBA FORM

## APPLICATION SUPPORTED BY BLOCKED AMOUNT

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

BROKER/AGENT INFORMATION				FOR OFFICE USE ONLY			
Broker Name & AMFI Regn. No.	Sub-Broker Name & ARN Code	EJIN (Employee UIN)	Sub-broker (As allotted by)	SCSB (Name & Code)	SCSB IFSC Code (11 digit code)	Syndicate Member Code (Name & Code)	S. No.

Declaration for "execution-only" transaction (only where EJIN box is left blank): I/We hereby confirm that the EJIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

### 1 APPLICANT INFORMATION (TO BE FILLED IN BLOCK LETTERS)\*

Name of Sole/ 1st Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s. <input type="checkbox"/> Others _____ Please Specify _____	Date of Birth/ Date of Incorporation D D M M Y Y Y Y	
Parent/ Guardian Name of 1st Applicant - (in case of Minor)/Contact person (in case of non individual applicant)	Relationship with Minor/ Designation	
Name of 2nd Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s.	Date of Birth D D M M Y Y Y Y	
Name of 3rd Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s.	Date of Birth D D M M Y Y Y Y	
PAN No. (Irrespective of Size of the investment) (Application without this information are liable to be rejected)		
	2nd Applicant	3rd Applicant

### 2 ISIN DETAILS

ISIN Number: \_\_\_\_\_ Scheme Name: \_\_\_\_\_

### 3 SCSB DETAILS

Bank Account Number: \_\_\_\_\_ Bank and Branch where account is held \_\_\_\_\_

Total Amount to be blocked (₹ in figures) \_\_\_\_\_ (₹ in words) \_\_\_\_\_

(Amount to be blocked shall be the No. of Units for x Unit Price.)

### 4 DEMAT ACCOUNT DETAILS

(Please ensure that unit holders given an option to hold the units in demat form in addition to account statement as per current practice and the sequence of names as mentioned in the application form matches with the Depository Participant.)

	NSDL	CDSL
DP Name		
DP ID*	I N	
Beneficiary Account No.		

**\*In case Unit holders do not provide their Demat Account details, an Account Statement shall be sent to them. Such investors will not be able to trade on the stock exchange.**

### UNDERTAKING BY ASBA INVESTOR/ ACCOUNT HOLDER

I/We hereby undertake that I/We am/are an ASBA investor(s) as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009. 2) In accordance with ASBA process provided in the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009. I/We authorize (a) the SCSB to do all acts as are necessary to make an application for purchase of units in the NFO of the Company, blocking the amount to the extent mentioned above in the "SCSB details" or unblocking of funds in the bank account maintained with the SCSB specified in the ASBA Form, transfer of funds to the Issuer's account designated for this purpose on receipt of instruction from the Registrar to the Issue after finalisation of the basis of allotment entitling me/us to receive Units on such transfer of funds, etc. (b) Registrar to the Quantum AMC to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the ASBA Form, upon finalisation of the basis of allotment and to transfer the requisite money to the Issuer's account designated for this purpose. 3) In case the amount available in the bank account specified in the ASBA Form is insufficient for blocking the amount equivalent to the application money, the SCSB shall reject the application. 4) If the DP ID, Client ID or PAN furnished by me/us in the ASBA Form is incorrect or incomplete, the ASBA Application shall be rejected and the AMC, R&TA and SCSB shall not be liable for losses, if any. 5) I/We hereby authorise the SCSB to make relevant revisions as may be required to be done during the NFO, in the event of price revision.

Signature of the Applicant(s)			<b>Attention: NRI Investors: Payment should be made through their NRE/FCNR accounts.</b>
Signature of the Bank Account Holder(s)			

ACKNOWLEDGEMENT SLIP FOR SCSB

<b>7th Floor, Hoechst House, Nariman Point, Mumbai - 400 021.</b> <a href="http://www.QuantumMF.com">www.QuantumMF.com</a>	<b>TO BE RETAINED BY THE BANKER</b> (To be filled by the Sole/First Applicant)	Date: D D M M Y Y Y Y
Received from Mr./Ms. _____	<b>SCSB Account Details</b>	
Address _____	Bank Name _____	No. of Units _____ (In Figures)
Tel/Fax _____ Mobile _____	Bank Account Number _____	
E-mail _____	Branch Address _____	
	Total Amount to be blocked (₹) _____	
<b>SIGNATURE(S)</b> _____		

ACKNOWLEDGEMENT SLIP FOR INVESTOR

<b>7th Floor, Hoechst House, Nariman Point, Mumbai - 400 021.</b> <a href="http://www.QuantumMF.com">www.QuantumMF.com</a>	<b>TO BE GIVEN BY THE SCSB</b> (To be filled by the Sole/First Applicant)	Date: D D M M Y Y Y Y
<b>INVESTMENT DETAILS</b>		
Scheme Name: _____	Plan: _____	
Option: _____	Frequency: _____	
Amount in figures: _____	Amount in words: _____	
No. of units: _____	Unit price: _____	
Name (Mr./Ms.) _____		
Address _____		
	Pin Code _____	Telephone _____
Bank Account Number: _____	SCSB Stamp Signature, Date & Time of Bid Form Submission	
Bank Name & Branch Address: _____		
Total Amount to be blocked (₹) _____	(Cheques/Drafts are subject to realisation)	

Note: Only purchases registered on the electronic system will be considered for allocation. Therefore, kindly ensure that you get a computerised TRS for every investment from the SCSB. Please note that validity of the purchases or any allocation thereon, is subject to realisation of the correct amount. Please retain photocopy of this form for future reference.

### 1. What is "ASBA"?

ASBA means "Application Supported by Blocked Amount". ASBA is an application containing an authorization to block the application money in the bank account, for subscribing to an issue. If an investor is applying through ASBA, his application money shall be debited from the bank account only if his/her application is selected for allotment after the basis of allotment is finalized, or the issue is withdrawn/failed.

### 2. Who can apply through ASBA facility?

SEBI has specified the investors who can apply through ASBA. In public issues w.e.f. October 1, 2010 all the investors can apply through ASBA.

### 3. What advantage an investor has in applying through ASBA vis à vis applying through an application with a cheque?

Applying through ASBA facility has the following advantages:

- (i) The investor need not pay the application money by cheque rather the investor submits ASBA which accompanies an authorization to block the bank account to the extent of the application money.
- (ii) The investor does not have to bother about refunds, as in ASBA only that much money to the extent required for allotment of securities, is taken from the bank account only when his application is selected for allotment after the basis of allotment is finalized.
- (iii) The investor continues to earn interest from the bank on the application money blocked as the same remains in the bank account until allotment, which is not the case in other modes of payment.
- (iv) The application form is simpler.
- (v) The investor deals with the known intermediary i.e. its own bank.

### 4. Where should I submit my Application Supported by Blocked Amount (ASBA)? How shall I know which bank and which branch of that bank is the designated branch for accepting ASBA applications?

List of Self Certified Syndicate Banks (SCSBs) and their designed branches i.e. branches where ASBA application form can be submitted, is available on the websites of BSE ([www.bseindia.com](http://www.bseindia.com)) and NSE ([www.nseindia.com](http://www.nseindia.com)) and on the website of SEBI ([www.sebi.gov.in](http://www.sebi.gov.in)).

### 5. What is Self certified Syndicate Bank (SCSB)?

SCSB is a bank which is recognized as a bank capable of providing ASBA services to its customers. Names of such banks would appear in the list available on the website of SEBI. (Also see answer to question (6)).

### 6. Can I submit ASBA in any of the banks specified in the list of SCSBs?

No, ASBA can be submitted to the SCSB with which the investor is holding the bank account.

### 7. Whether my bank account will be blocked or only the amount to the extent of application money is blocked?

No, the entire bank account will not be blocked. Only the amount to the extent of application money authorized in the ASBA will be blocked in the bank account. The balance money, if any, in the account can still be used for other purposes.

### 8. Do I necessarily need to have a DP account with the SCSB where I intend to submit the ASBA application?

No, investors need not necessarily have their DP account with SCSB, where they are submitting the ASBA form.

### 9. Can I submit my ASBA to a broker as is being done in the present issue process applying through cheque?

You are required to submit ASBA to the SCSBs only.

### 10. Will I get the acknowledgement of receipt for applications submitted through ASBA from the SCSB?

Yes. The SCSB shall give a counterfoil as an acknowledgement at the time of submission of ASBA and also the order number, generated at the time of uploading the application details, if sought by the investors in case of need.

### 11. Other Information for ASBA Investors:

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

### 12. Grounds for rejection of ASBA applications

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

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



WEBSITE

[www.QuantumMF.com](http://www.QuantumMF.com)



EMAIL

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



TOLL FREE HELPLINE

1800 22 3863 / 1800 209 3863



# FATCA/ FOREIGN TAX LAWS INFORMATION - NON INDIVIDUAL FORM

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

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

S 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 If yes, please provide the following information: GIIN: _____ (Global Intermediary Identification Number) If GIIN not available [tick any one]: <input type="checkbox"/> Applied for on <input type="text" value="DDMMYYYY"/> <input type="checkbox"/> Not required to apply (please describe) _____ <input type="checkbox"/> Not obtained
2	We are a listed company [whose shares are regularly traded on a recognized stock exchange]	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, specify the name of any one Stock Exchange where it is traded regularly: 1. BSE/NSE/Other _____ (please specify)
3	We are 'Related Entity' of a listed company [Refer instructions b]	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, specify the name of the listed company _____ Specify the name of any one Stock Exchange where it is traded regularly: 1. BSE/NSE/Other _____ (please specify)
4	We are an Active NFFE [Refer instructions c & d]  Note: Details of Controlling Persons will not be considered for FATCA purpose	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, specify the nature of business Please specify the category of Active NFFE _____ (Mention code – refer instructions)
5	We are an Passive NFFE [Refer instructions f and g]  Note: Details of Controlling Persons will be considered for FATCA purpose	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please provide: 1. Nature of business _____ 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:

<div style="border: 1px solid black; height: 60px; margin-bottom: 5px;"></div> Authorised Signatory	<div style="border: 1px solid black; height: 60px; margin-bottom: 5px;"></div> Authorised Signatory	<div style="border: 1px solid black; height: 60px; margin-bottom: 5px;"></div> Authorised Signatory
---	---	---

Date:

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

- a. 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
- b. 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)
- c. 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
- d. Active NFFE — Any one of the following —

Code	Sub-category
01	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
02	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
03	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
04	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
05	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
06	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
07	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

08	<p>Any NFFE is a "non for profit" organization which meets all of the following requirements:</p> <ul style="list-style-type: none"> <li>• 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;</li> <li>• It is exempt from income tax in its jurisdiction of residence;</li> <li>• It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> <li>• 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 non-charitable 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</li> <li>• 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.</li> </ul>
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- e. 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
- f. 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 dividends, 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)

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

Our company is a Listed Company listed on recognized stock exchange in India

Our company is a subsidiary of the Listed Company

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 [ ✓ applicable category]:**

Unlisted Company       Partnership Firm       Limited Liability Partnership Company

Unincorporated association / body of individuals / HUF       Public Charitable Trust       Religious Trust

Private Trust       Private Trust created by a Will       Others \_\_\_\_\_ [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] Along with Designation / Position wherever applicable				
UBO Code [Refer instruction 3]				
PAN or any other valid ID proof for those where PAN is not available / applicable <sup>1</sup>				
KYC (Yes/No) <sup>2</sup>				
Country of citizenship / Nationality				
Country of Tax Residency <sup>3</sup>				
Taxpayer Identification Number <sup>3</sup>				
Country of Birth				
Country of Permanent 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 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 KARVY / 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:

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

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money 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:

UBO 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.

## Annexure A

(To be printed on CA Letterhead)

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

### 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: \_\_\_\_\_

### 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: \_\_\_\_\_



## HDFC Bank Collection Centers

- **Ahmedabad** 2nd Floor, Tej Enclave, Above Emerald Honda, Opp.Gandhigram Railway Station, Off AshramRD, AHMEDABAD-380009
- **Bangalore** HDFC BANK LTD,Cash Management Services "SALCO CENTRE" # 8/24, Richmond Road, Bangalore, 560025.
- **Baroda** 1st Floor, Fortune Tower,Vadodara Stock Exchange Building,Opp. Parsi Agiyari,Sayajigunj, Baroda - 390005.
- **Bhopal** Asha Avenue, 1st Floor, Z-1, Zone-1 M P Nagar, Bhopal.462011
- **Bhubaneswar** 1st Floor ,Wholesale Banking Operations,A-62/1 , Unit 8 , Nayapalli, Bhubaneswar - 751012
- **Chandigarh** sco-189-190 Sector 17 c, Chandigarh - 160 017.
- **Chennai** CSD Dept , 8th Floor, 115, Radhakrishnan Salai, Opp CSI Kalyani Hosp, Mylapore, CHENNAI - 600004
- **Cochin** FIRST FLOOR, PALARIVATTOM 25, Cochin - 682025.
- **Coimbatore** 1st floor, No.315/316,Mettupalayam Road, Opp Murugan Mills, Near Ganga Hospital, Coimbatore, Tamilnadu - 641 018.
- **Delhi** E-13/29, 2nd Floor,Harsha Bhavan, Middle Circle,Connaught Place, Delhi - 110 001.
- **Hyderabad** WBO 1-10-60/3, III Floor, Suryodaya,Begumpet, Hyderabad - 500 016.
- **Jaipur** HDFC Bank House, 2nd Floor, O-10,Ashok Marg,C-Scheme, Jaipur - 302 001.
- **Jammu** KASHMIR AUTO AIDSSITE NO.-1, TRANSPORT NAGAR,NARWAL, JAMMU-180005 (J&K)09906046348 / 08803513449
- **Kolkata** Bengal Intelligent ParkL(BIPL)OMEGA Bldg,South Lift,15th FlrBlock-EP&GP Saltlake,Sector VKOLKATA - 700091
- **Madurai** Sri Nithyakalyani Towers, No 34 Krishnarayan Tank Street, North Veli Street, Madurai - 625 001.
- **Mumbai** Ground Floor, Maneckji Wadia Building,Nanik Motwani Marg,Near Kala Ghoda,opp Mumbai University,Fort, Mumbai- 400 001.
- **Panjim** HDFC Bank Ltd,WBO 2nd Floor, Metropolis - II,Opp. Vintage Hospital,St. Inez, Panjim,Goa- 403 001.
- **Pune** Fortune Square 3 rd Floor, Deep bungalow Chowk, Model Colony, Shivajinagar,, Pune - 411 016.
- **Trivandrum** BOB Plaza , Second Floor, T. C. 12 / 149 ( 3), Pattom ,Trivandrum- 695004.
- **Vijayawada** HDFC Bank Ltd., D.No: 40-5-4A,I Floor, Tikkle Road,Vijayawada - 520 010.



WEBSITE

[www.QuantumMF.com](http://www.QuantumMF.com)


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


TOLL FREE HELPLINE

1800 22 3863 / 1800 209 3863

SMS  
< QUANTUM >  
to  
9243223863

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

- Mumbai:** 7th Floor, Hoechst House, Nariman Point, Mumbai - 400 021
- Ghatkopar:** 610, 6th floor, Neelyong Square, Opposite Ghatkopar Railway Station, Ghatkopar (E), Mumbai 400 077
- Borivali:** 602, 6th floor, Siddharth Arcade, Above HSBC Bank, L.T. Road, Borivali West, Mumbai - 400 092
- Bandra:** QTube Café, Morya House, Shop Number3, Ground Floor, S. V. Road, Opposite Parsi Colony, Bandra (west), Mumbai - 400 050
- Chennai:** Office No.-123, DBS Business Center, 31-A, Cathedral Garden Road, Nungambakkam, Chennai - 600 034
- Ahmedabad:** BSQUARE Office Solutions, 6th Floor Shree Krishna Centre, Nr. Mithakhali Six Roads, Navrangpura, Ahmedabad - 380 009
- Bengaluru:** Suite No. 216, 2nd floor, DBS House, No.26, Cunningham Road, Bengaluru - 560 052
- Pune:** Office No. 116, Fifth floor, Shreenath Plaza, Plot no. 559, Bhamburda, Shivajinagar, Pune - 411016 Maharashtra

**Karvy Fintech Pvt. Ltd. Collection Centers**

**Agartala :** Karvy Fintech Private Limited, Jagannath Bari Road, Bidur Karta Chowmuhani, Agartala - 799001, **Aggra :** Karvy Fintech Private Limited, Deepak Wasan Plaza, Behind Holiday Inn, Opp Megdoot Furnitures, Sanjay Place, Aggra-282002 (U.P.), **Ahmedabad :** Karvy Fintech Private Limited, 201/202 Shail Complex, ,Opp : Madhusudan House, B/H Girish Cold Drink, Off C G Road, Navrangpura, Ahmedabad-380 006, **Ajmer :** Karvy Fintech Private Limited, 302, 3rd Floor, Ajmer Auto Building, Opposite City Power House, Jaipur Road; Ajmer, Ajmer - 305 001, **Akola :** Karvy Fintech Private Limited, Yamuna Tarang Complex, Shop No 30, Ground Floor, N.H. No- 06, Murtizapur Road, Opp Radhakrishna Talkies, Akola-444004, **Aligarh :** Karvy Fintech Private Limited, 1st Floor, Kumar Plaza, Aligarh - 202001 ; Uttar Pradesh, **Allahabad :** Karvy Fintech Private Limited, RSA Towers, 2nd Floor, ,Above Sony TV Showroom, 57, S P Marg, Civil Lines, ,Allahabad -211001, **Alleppy :** Karvy Fintech Private Limited, 1st Floor, Jp Towers, Ksrctc Bus Stand, Mullackal, Alleppy - 688011, **Alwar :** Karvy Fintech Private Limited, 101, Saurabh Tower Opp. Uit, Near Bhagat Singh Circle Road No.2, Alwar-301001, **Amaravathi :** Karvy Fintech Private Limited, Shop No. 21, 2nd Floor, Gulshan Tower, Near Panchsheel Talkies, ,Jaistambh Square, Amaravathi - 444601, **Ambala :** Karvy Fintech Private Limited, 6349, Nicholson Road, ,Adjacent Kos Hospital, Ambala Cantt, Ambala - 133001, **Amritsar :** Karvy Fintech Private Limited, 72-A, Taylor'S Road, Aga Heritage Gandhi Ground, Amritsar - 143 001, **Anand :** Karvy Fintech Private Limited, B-42 Vaibhav Commercial Center, Nr Tvs Down Town Shrow Room, Grid Char Rasta ,Anand - 388 001, **Ananthapur :** Karvy Fintech Private Limited, # 15-149, 1st Floor, S.R. Towers, ,Opp : Lalithakala Parishat; Subash Road, Anantapur - 515 001, **Ankleshwar :** Karvy Fintech Private Limited, L/2, Keval Shopping Center, Old National Highway, Ankleshwar - 393 002, **Asansol :** Karvy Fintech Private Limited, 114/N, G. T. Road, Bhanga Panchil, Near Nokia Care, Asansol - 713303, **Aurangabad :** Karvy Fintech Private Limited, Ramkunj, Railway Station Road, Near Osmanpura Circle, Aurangabad-431005, **Azamgarh :** Karvy Fintech Private Limited, 1st Floor Alkal Building, Opp. Nagaripalika Civil Line, Azamgarh-276 001, **Balassore :** Karvy Fintech Private Limited, M S Das Street, Gopalgaon, Balassore - 756001, **Bangalore :** Karvy Fintech Private Limited, No. 59, ,Skanda puttanna Road, Basavanagudi, Bangalore - 560 004, **Bankura :** Karvy Fintech Private Limited, Ambika Market Complex (Ground Floor), Natunganj, Bankura - 722101, **Bareilly :** Karvy Fintech Private Limited, 1st Floor, Rear Side, A-Square Building, 154-A Civil Lines, Opp. D.M. Residence, Station Road, BAREILLY - 243 001, **Barhampore (WB) :** Karvy Fintech Private Limited, Thakur Market Complex, 72, Naya Sarak Road, Gorabazar, PO. Berhampore, DIST. Murshidabad, Barhampore -742101, **Baroda :** Karvy Fintech Private Limited, 203, Corner point, Jetalpur Road, Baroda, Gujarat - 390007, **Begusarai :** Karvy Fintech Private Limited, Hotel Diamond Surbhi Complex, Near I.O.C Township Gate, Kapasiya Chowk, Begusarai - 851117, **Belgaum :** Karvy Fintech Private Limited, CTS No 3939/ A2 A1, Above Raymonds Show Room, Beside Harsha Appliances, Club Road, ,Belgaum - 590001, **Bellary :** Karvy Fintech Private Limited, SHREE GAYATHRI TOWERS, #4 1ST FLOOR, K.H.B.Colony, GOPALSWAMY MUDALIAR ROAD, Gandhi Nagar ,Bellary - 583103, **Berhampur (OR) :** Karvy Fintech Private Limited, Opp -Divya Nandan Kalyan Mandap, 3rd Lane Dharam Nagar, Near Lohiya Motor, Berhampur-760001, **Betul :** Karvy Fintech Private Limited, 107, Hotel Utkarsh, Awasthi Complex, ,J H College Road, Civil Lines, Beetul-460001, **Bhagalpur :** Karvy Fintech Private Limited, 2nd Floor, Chandralok Complex, Ghantaghar, Radha Rani Sinha Road, Bhagalpur - 812001, **Bharuch :** Karvy Fintech Private Limited, 147-148, Aditya Complex, Near Kasak Circle, Bharuch - 392 001, **Bhatinda :** Karvy Fintech Private Limited, #2047-A, 2nd Floor, Above Max New York Life Insurance, ,The Mall Road, Bhatinda - 151001, **Bhavnagar :** Karvy Fintech Private Limited, 303, STERLING POINT, WAGHAWADI ROAD, BHAVNAGAR - 364001, **Bhilai :** Karvy Fintech Private Limited, Shop No-1, First Floor, Plot NO-1, Old Sada Office Block, Commercial Complex, Near HDFC Atm, Nehru Nagar- East, Post- BHILAI, Pin - 490020, **Bhilwara :** Karvy Fintech Private Limited, 27-28, 1st Floor, Heera-Panna Market (complex), Pur Road, ,Bhilwara-311001, **Bhopal :** Karvy Fintech Private Limited, Kay Ka Business Centre, 133, Zone I, M P Nagar, Above City Bank, Bhopal-462011, **Bhubaneswar :** Karvy Fintech Private Limited, A/181 , Back Side Of Shivam Honda Show Room, Saheed Nagar, Bhubaneswar-751007, **Bikaner :** Karvy Fintech Private Limited, 2nd Floor, Plot No 70 & 71, Dr.Chahar Building, Panchshati Circle, ,Sardul Gunj Scheme, Bikaner-334003, **Bilaspur :** Karvy Fintech Private Limited, Shop No -225,226 & 227, 2nd Floor, Narayan Plaza, Link Road, Bilaspur-495001, **Bokaro :** Karvy Fintech Private Limited, B-1, 1st Floor, Near Sona Chandi Jewellers, City Centre, Sector -4, Bokaro Steel City - 827 004, **Burdwan :** Karvy Fintech Private Limited, Anima Bhavan, 1st Floor, Holding No.-42, Sreepally, G. T. Road, Burdwan - 713103, **Calicut :** Karvy Fintech Private Limited, FIRST FLOOR, SAVITHRI BUILDING, OPP. FATIHEMA HOSPITAL, BANK ROAD, Calicut - 673 001, **Chandigarh :** Karvy Fintech Private Limited, Sco 2423-2424, Above Mirchi Restaurant, ,New Aroma Hotel First Floor, Sector 22-C, Chandigarh - 160022, **Chandrapur :** Karvy Fintech Private Limited, Shop No.6, Office No.2, ,1st Floor, Routs Raghuvanshi Complex, Beside Azad Garden, Main Road, Chandrapur-442402, **Chennai :** Karvy Fintech Private Limited, Flat No F11, First Floor, Akshya Plaza, (Erstwhile Harris Road), Opp Chief City Metropolitan Court, # 108, Adhithanar Salai, Egmore, Chennai - 600002, **Chinsura :** Karvy Fintech Private Limited, J C Ghosh Saranu, Bhanga Gara, Chinsurah, Hooghly, Chinsura - 712101, **Cochin :** Karvy Fintech Private Limited, Building Nos. 39 Ali Arcade, 1st floor, Near Atlantis Junction, Kizhavana Road, Panampilli Nagar, ,Cochin-682 036, Ernakulum District, **Coimbatore :** Karvy Fintech Private Limited, 3rd Floor, 1057/1058, Jaya Enclave, Avanashi Road, Coimbatore- 641018, **Cuttack :** Karvy Fintech Private Limited, Dargha Bazar, ,Opp. Dargha Bazar Police Station, Buxibazar, Cuttack - 753001, **Darbhanga :** Karvy Fintech Private Limited, Jaya Complex, 2nd Floor, above furniture planet, ,Donar chowk, Darbanga-846 003, **Davangere :** Karvy Fintech Private Limited, D.No 376/2, 8th Cross, Opp Byadgishettar School, P J Extension, Davangere : 577002, **Dehradun :** Karvy Fintech Private Limited, Kaulgarh Road, Near Sirmour Marg, Above Reliance Webworld, Dehradun - 248 001, **Deoria :** Karvy Fintech Private Limited, 1st Floor, Shanti Niketan, Opp. Zila Panchayat, Civil Lines ,Deoria- 274001, **Dewas :** Karvy Fintech Private Limited, 27 Rmo House, Station Road, ,Above Maa Chamunda Gaes Agency, Dewas-455001, **Dhanbad :** Karvy Fintech Private Limited, 208, New Market, 2Nd Floor, Katras Road, Bank More, Dhanbad - 826001, **Dhanwad :** Karvy Fintech Private Limited, 307/9-A 1st Floor, Elite Business Center, ,Nagarkot Colony , P B Road, Dhanwad - 580 001, **Dhule :** Karvy Fintech Private Limited, Ground Floor Ideal Laundry, Lane No 4, ,Khol Galli, Near Muthoot Finance, Opp Bhavasar General Store, Dhule-424001, **Dindigul :** Karvy Fintech Private Limited, No.9, Old No.4/B, New Agraharam, Palani Road, Dindigul - 624 001, **Durgapur :** Karvy Fintech Private Limited, MWAV-16 Bengal Ambuja, 2nd Floor, City Centre ,Durgapur- 713216, **Eluru :** Karvy Fintech Private Limited, DNO-23A-7-72/73, K K S PLAZA, MUNUKUTLA VARI STREET, OPP ANDHRA HOSPITALS, R.R.PETA, ELURU-534 002, **Erode :** Karvy Fintech Private Limited, No. 4, KMY Salai, Veerappan Traders Complex, Opp : Erode Bus Stand , Sathy Road, Erode - 638 003, **Faridabad :** Karvy Fintech Private Limited, A-2B, 1st Floor, Nehru Ground, Neelam Bata Road, Nit, Faridabad - 121 001, **Ferozpur :** Karvy Fintech Private Limited, The Mall Road, Chawla Building, 1st Floor, Opp. Central Jail, Near Hanuman Mandir, Ferozpur City -152002, **Gandhidham :** Karvy Fintech Private Limited, Shop # 12, Shree Ambica Arcade, Plot # 300, Ward 12, Opp. CG High School, Near HDFC Bank, Gandhidham - 370201, **Gandhinagar :** Karvy Fintech Private Limited, 123, First Floor, Megh Malhar Complex, Opp. Vijay Petrol Pump Sector - 11, Gandhinagar - 382011, **Gaya :** Karvy Fintech Private Limited, 54 LAL KOTHI COMPOUND, 2ND FLOOR - NORTH SIDE, SHREE KRISHNA ROAD, NEAR ROYAL SURYA HOTEL, Gaya-823001, **Ghaziabad :** Karvy Fintech Private Limited, 1st Floor, C-7, Lohia Nagar, Ghaziabad - 201001, **Ghaziipur :** Karvy Fintech Private Limited, Shubhra Hotel Complex, 2nd Floor, Mahaubagh, Ghaziipur-233 001, **Gonda :** Karvy Fintech Private Limited, Shree Markit, Sahabgunj, Near Nuramal Mandir, Station Road Gonda, Gonda-271 001, **Gorakhpur :** Karvy Fintech Private Limited, Above V.I.P. House, Ajdacent A.D. Girls Inter College, Bank Road, Gorakhpur - 273 001, **Gulbarga :** Karvy Fintech Private Limited, CTS No. 2913, First Floor, Asian Tower, Next To Hotel Aditya, Jagat Station Main Road, Gulbarga : 585105, **Guntur :** Karvy Fintech Private Limited, D No 6-10-27, 10/1, Sri Nilayam, Arundelpet, Guntur - 522002, **Gurgaon :** Karvy Fintech Private Limited, Shop No. 18, Ground Floor, Sector - 14, Opp. AKD Tower, Near Huda Office, Gurgaon - 122001, **Guwahati :** Karvy Fintech Private Limited, 1st Floor, Bajrangbali Building, Near Bora Service Station, GS Road, Guwahati 781007, **Gwalior :** Karvy Fintech Private Limited, 2nd Floor, Rajeev Plaza, Jayendra Ganj, Lashkar, Gwalior - 474 009, **Haldwani :** Karvy Fintech Private Limited, Above Kapilaz Sweet House, Opp LIC Building, ,Pilkothi, Haldwani - 263139, Uttararakhand, **Haridwar :** Karvy Fintech Private Limited, 8, Govind Puri, Opp. LIC -2, ,Above Vijay Bank, Main Road, ,Ranipur More, Haridwar-249 401, **Hassan :** Karvy Fintech Private Limited, SAS no-212, Ground Floor, Sampige Road 1st cross, Near Hotel Souther Star, K R Puram, Hassan - 573201, **Hissar :** Karvy Fintech Private Limited, Sco 71, 1st Floor, Red Square Market, Hissar - 125001, **Hoshiarpur :** Karvy Fintech Private Limited, 1st Floor, The Mall Tower, Opp Kapila Hospital, Sutheri Road, Near Maharaj Palace, Hoshiarpur - 146001, , **Hubli :** Karvy Fintech Private Limited, CTC No 483/A1/A2 Ground Floor, Shri Ram Palza Behind Kotak Mahindra Bank, Club Road, Hubli - 580029, **Hyderabad :** Karvy Fintech Private Limited, 8-2-609/K, Karvy Centre, Avenue 4, Street No.1, Banjara Hills, Hyderabad - 500 034, **Indore :** Karvy Fintech Private Limited, 2nd floor, 203-205 Balaji Corporates, ,Above ICICI bank, 19/1 New Palasia, Near Curewell Hospital, Janjeerwala Square Indore, Indore - 445001, **Jabalpur :** Karvy Fintech Private Limited, 3rd Floor, R.R. Tower, 5, Lajpatkunj, Near Tayabali Petrol pump, Jabalpur-482001, , **Jaipur :** Karvy Fintech Private Limited, S-16 A, 3Rd Floor, Land Mark, Opposite Jaipur Club, Mahavir Marg, C- Scheme, Jaipur - 302 001, **Jalandhar :** Karvy Fintech Private Limited, 1st Floor, Shanti Towers SCO No. 37, PUDA Complex, Opposite Tehsil Complex, Jalandhar - 144 001, **Jalgaon :** Karvy Fintech Private Limited, 269 JAAE VISHWA 1ST FLOOR, ABOVE UNITED BANK OF INDIA BALIRAM PETH, NR KISHOR AGENCIES, Jalgaon - 425 001, **Jalpaiguri :** Karvy Fintech Private Limited, D.B.C. Raod, Near Rupasree Cinema Hall, Beside Kalamandir, Po & Dist Jalpaiguri, Jalpaiguri - 735101, **Jammu :** Karvy Fintech Private Limited, Gupta's Tower, 2nd Floor, CB-12, Rail Head complex, Jammu - 180012, **Jamnagar :** Karvy Fintech Private Limited, 136-137-138, Madhav Plaza, Opp SBI Bank , Lal Bungalow, Jamnagar - 361001, Gujarat, **Jamshedpur :** Karvy Fintech Private Limited, 2ND FLOOR, R R SQUARE, SB SHOP AREA, NEAR RELIANCE FOOT PRINT & HOTEL- BS PARK PLAZA, MAIN ROAD, BISTUPUR, Jamshedpur - 831 001, **Jaunpur :** Karvy Fintech Private Limited, 119, R.N Complex, 2nd Floor, In Front Of Pathak Honda, Near Jay Ceej Crossing, Umarnpur, Jaunpur-222 002, **Jhansi :** Karvy Fintech Private Limited, 371/01, Narayan Plaza, Gwalior Road, Near Jeevan Shah Chauraha, Jhansi - 284 001, **Jodhpur :** Karvy Fintech Private Limited, 203, Modi Arcade, Chupasni Road, Jodhpur - 342 001, **Junagadh :** Karvy Fintech Private Limited, 124/125, Punit Shopping Center, Ranavat Chowk, Junagadh, Gujarat 362001, **Kannur :** Karvy Fintech Private Limited, 2nd Floor, Prabhat Complex, Fort Road, Nr. Icici Bank ,Kannur - 670001, **Kanpur :** Karvy Fintech Private Limited, 15/46, Ground Floor, Opp : Muir Mills, Civil Lines, Kanpur - 208001, **Karalkudi :** Karvy Fintech Private Limited, Gopi Arcade, 100 Feet Road, Karalkudi - 630 001, **Karimnagar :** Karvy Fintech Private Limited, SRI PROJECTS, Door no 2-10-1298, 2nd Floor, Rathnam Arcade, Jyothi Nagar, Karimnagar-505001, **Kamal :** Karvy Fintech Private Limited, 18/369, Char Chaman, Kunjapura road, Karnal-132001, **Karur :** Karvy Fintech Private Limited, No.6, Old No.1304, Thiru-Vi-Ka Road , Near G.R.Kalyan Mahal, Karur - 639 001, **Kharagpur :** Karvy Fintech Private Limited, 180 Malancha Road, Beside Uti Bank, Kharagpur-721304, **Kolhapur :** Karvy Fintech Private Limited, 605/1/4 E Ward, Near Sultane Chambers, Shahupuri 2nd Lane, Kolhapur 416001, **Kolkata :** Karvy Fintech Private Limited, Apeejay House ( Beside Park Hotel ), 15 Park Street, C Block, 3rd Floor, Kolkata-700016 , West Bengal ,India, **Kollam :** Karvy Fintech Private Limited, Sree Vigneswara Bhavan, Shastrri Junction, Kadapakada, Kollam - 691001, **Korba :** Karvy Fintech Private Limited, 1st Floor, City Centre, 97 IRCC, Transport Nagar, Korba (C.G.) - 495677, **Kota :** Karvy Fintech Private Limited, Plot No. 259, 1st Floor, Shopping Centre, Lala Lajpat Rai Circle, Kota - 324007, **Kottayam :** Karvy Fintech Private Limited, 1st Floor Csiascension Square, Railway Station Road, Collectorate P O, Kottayam - 686 002,

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

- Mumbai:** 7th Floor, Hoechst House, Nariman Point, Mumbai - 400 021
- Ghatkopar:** 610, 6th floor, Neelyog Square, Opposite Ghatkopar Railway Station, Ghatkopar (E), Mumbai - 400 077
- Borivali:** 602, 6th floor, Siddharth Arcade, Above HSBC Bank, L.T. Road, Borivali West, Mumbai - 400 092
- Bandra:** QTube Café, Morya House, Shop Number3, Ground Floor, S. V. Road, Opposite Parsi Colony, Bandra (west), Mumbai - 400 050
- Chennai:** Office No.-123, DBS Business Center, 31-A, Cathedral Garden Road, Nungambakkam, Chennai - 600 034
- Ahmedabad:** BSQUARE Office Solutions, 6th Floor Shree Krishna Centre, Nr. Mithakhali Six Roads, Navrangpura, Ahmedabad - 380 009
- Bengaluru:** Suite No. 216, 2nd floor, DBS House, No.26,Cunningham Road, Bengaluru - 560 052
- Pune:** Office No. 116, Fifth floor, Shreenath Plaza, Plot no. 559, Bhamburda, Shivajinagar, Pune - 411016

**Karvy Fintech Pvt. Ltd. Collection Centers**

**Kurnool :** Karvy Fintech Private Limited,Shop No.43, 1st Floor,S V Complex, Railway Station Road,Near Sbi Main Branch,Kurnool-518 004, **Lucknow :** Karvy Fintech Private Limited,1st Floor,A. A. Complex,5 Park Road, Hazratganj, Thaper House,Lucknow - 226001, **Ludhiana :** Karvy Fintech Private Limited,SCO - 136 , First Floor ,Above Airtel Show Room,Feroze Gandhi Market ,Ludhiana - 141001, **Madurai :** Karvy Fintech Private Limited,Rakesh Towers, 30-C, Bye Pass Road,1st Floor, Opp Nagappa Motors, Madurai - 625010, **Malappuram :** Karvy Fintech Private Limited,1st Floor, PEEKAY'S Arcade, Down Hill, Malappuram - 676519, **Malda :** Karvy Fintech Private Limited,Sahistuli Under Ward,No-6, English Bazar Municipality,No-1 Govt Colony,Malda - 732101, **Mangalore :** Karvy Fintech Private Limited,Mahendra Arcade Opp Court Road,Karangal Padi,Mangalore - 575 003, **Margao :** Karvy Fintech Private Limited,2Nd Floor, Dalal Commercial Complex,Opp : Hari Mandir, Pajifond, ,Margao-Goa -403601, **Mathura :** Karvy Fintech Private Limited,AMBEY Crown, 1IInd Floor,In Front Of BSA College, Gaushal Road,Mathura - 281001, **Meerut :** Karvy Fintech Private Limited, 1St Floor, Medi Centre Complex, ,Opp. Icici Bank, Hapur Road,Meerut - 250 002, **Mehsana :** Karvy Fintech Private Limited,FF-21,Someshwar Shopping Mall,Modhera Char Rasta,Mehsana-384002, **Mirzapur :** Karvy Fintech Private Limited,Abhay Yatri Niwas, 1st Floor, Above HDFC Bank,Dankeenganj, UP,Mirzapur-231001, **Moga :** Karvy Fintech Private Limited, 1St Floor,Dutt Road, Mandir Wali Gali,Civil Lines, Barat Ghar ,Moga-142001, **Moradabad :** Karvy Fintech Private Limited,Om Arcade, Parker Road,Above Syndicate Bank, Tari Khana Chowk,Moradabad - 244 001, **Morena :** Karvy Fintech Private Limited,Moti Palace, Near Ramjanki Mandir,Jiwaji Ganj ,Morena -476 001, **Mumbai :** Karvy Fintech Private Limited,Office number : 01/04,24/B, Raja Bahadur Compound,Ambalal Doshi Marg, Behind Bombay Stock Exchange,Fort,Mumbai - 400001, **Muzaffarpur :** Karvy Fintech Private Limited,First Floor, Shukla Complex, Near ICICI Bank,Civil Court Branch, Company Bagh,Muzaffarpur-842001, **Mysore :** Karvy Fintech Private Limited,L - 350 , Silver Tower , Clock Tower , Ashoka Road,Mysore - 570 001, **Nadiad :** Karvy Fintech Private Limited,104/105,Near Paras Cinema,City Point Nadiad,Nadiad - 387001, **Nagercoil :** Karvy Fintech Private Limited,HNO 45, 1st Floor,East Car Street, ,Nagarcoil - 629001, **Nagpur :** Karvy Fintech Private Limited,Plot No.2/1, House No. 102/1, ,Mangaldeep Apartment, Mata Mandir Road, ,Opp. Khandelwal Jewellers, Dharampeth, ,Nagpur - 440 010, **Namakkal :** Karvy Fintech Private Limited,105/2, Arun Towers,Paramathi Street,Namakkal 637 001, **Nanded :** Karvy Fintech Private Limited,Shop No. 4, First Floor, Opp.Bank Of India,Santkrupa Market, Gurudwara Road,Nanded-431601, **Nasik :** Karvy Fintech Private Limited,S-9, Second Floor, Suyojit Sankul, Sharanpur Road,Nasik, Maharashtra - 422002, **Navsari :** Karvy Fintech Private Limited,103,1st Floore Landmark Mall,Near Sayaji Library,Navsari, Gujarat - 396445, **Nellore :** Karvy Fintech Private Limited,16-2-230 , Room No : 207 , 2Nd Floor,Keizen Heights, ,Gandhi Nagar , Pogathota,Nellore - 524001, **New Delhi :** Karvy Fintech Private Limited,305 New Delhi House , 27 Barakhamba Road ,New Delhi-110 001, **Nizamabad :** Karvy Fintech Private Limited,H No : 5-6-430,A Bove Bank Of Baroda First Floor,Beside Hdfc Bank,Hyderabad Road,Nizamabad-503 003, **Noida :** Karvy Fintech Private Limited,405,4th Floor,Vishal Chamber,Plot No. 1,Sector-18,Noida - 201301(U>P), **Palghat :** Karvy Fintech Private Limited,12/310, (No.20 & 21), Metro Complex,Head Post Office Road, Sultanpet,Palghat - 678001, **Panipat :** Karvy Fintech Private Limited,JAVA Complex, 1st Floor, Above Vijaya Bank,G T Road, Panipat,Panipat - 132103, **Panjim :** Karvy Fintech Private Limited,Flat No.1-A, H. No. 13/70,Timotio Bldg,Heliodoro Salgado Road,Next to Navhind Bhavan (Market Area),Panjim - 403001,**Pathankot :** Karvy Fintech Private Limited,2nd Floor, Sahni Arcade Complex,Adj,Indra colony Gate Railway Road,Pathankot - 145001,**Patiala :** Karvy Fintech Private Limited,SCO 27 D, Chhoti Baradari, Near Car Bazaar,Patiala - 147 001, **Patna :** Karvy Fintech Private Limited,3A, 3rd floor ,Anand tower,Beside chankya cinema hall: Exhibition road,Patna - 800001., **Pollachi :** Karvy Fintech Private Limited,146/4,Ramanathan Building ,1st Floor New Scheme Road,Pollachi 642002, **Pondicherry :** Karvy Fintech Private Limited,First Floor,No.7, Thiayagaraja Street,Pondicherry - 605 001, **Pudukottai :** Karvy Fintech Private Limited,Sundaram Masilamani Towers, Ts No. 5476 - 5479, Pm Road, ,Old Tirumayam Salai,Near Anna Statue, Jublie Arts,Pudukottai 622 001, **Pune :** Karvy Fintech Private Limited,Mozaic Bldg, CTS No.1216/1, Final,Plot No.576/1 TP, Scheme No.1, ,F C Road, Bhamburda, ,Shivaji Nagar,Pune - 411005, **Raipur :** Karvy Fintech Private Limited,Office No.S-13,Second Floor, Raheja Tower,Fafadhi Chowk, Jail Road,Raipur - 492 001, **Rajahmundry :** Karvy Fintech Private Limited,Dr.No; 6-1-4 ,first floor,Rangachary street, Tnagar,Rajahmundry-533101, **Rajapalayam :** Karvy Fintech Private Limited,Sri Ganapathy Complex, 14B/5/18, TP Mills Road, Virudhngar Dist,Rajapalayam 626 117, **Rajkot :** Karvy Fintech Private Limited, 104, Siddhi Vinayak Complex,Dr Yagnik Road,Opp Ramkrishna Ashram,Rajkot - 360 001, **Ranchi :** Karvy Fintech Private Limited,Room No. 307, 3RD Floor, Commerce Towers, Beside Mahabir Towers,Main Road,Ranchi - 834 001, **Ratlam :** Karvy Fintech Private Limited, 1 Nagpal Bhavan, Freeganj Road , Dobatti,Near Nokia Care Ratlam,Ratlam-457001, **Renukoot :** Karvy Fintech Private Limited,Radhika Bhavan, Opp. Padmini Hotel, Murdhwa,Renukoot-231 217, **Rewa :** Karvy Fintech Private Limited,1st Floor, Angoori Building, ,Besides Allahabad Bank,Trans University Road, Civil Lines,Rewa-485 001, **Rohtak :** Karvy Fintech Private Limited,1St Floor, Ashoka Plaza, Delhi Road, ,Rohtak - 124001, **Roorkee :** Karvy Fintech Private Limited,Shree Ashadeep Complex, 16 Civil Lines,Near Income Tax Office,Roorkee, Uttaranchal - 247 667, **Rourkela :** Karvy Fintech Private Limited,1St Floor, Sandhu Complex, ,Kanchery Road, Udit Nagar,Rourkela - 769 012, **Sagar :** Karvy Fintech Private Limited,II floor ,Above shiva kanch mandir,5 civil lines ,Sagar-470002,Saharanpur : Karvy Fintech Private Limited, 18 Mission Market,Court Road,Saharanpur - 247001,Uttar Pradesh,Salem : Karvy Fintech Private Limited,NO 3/250 "F" BRINDAVAN ROAD,6th Cross, Perumal kovil back side,Fairland's,Salem-636016, **Sambalpur :** Karvy Fintech Private Limited,Koshal Builder Complex, ,Near Goal Bazaar Petrol pump, ,Sambalpur-768001, **Satna :** Karvy Fintech Private Limited,1St Floor, Gopal Complex, ,Near Busstand Rewa Road,Satna (M.P.) -485 001, **Shaktinagar :** Karvy Fintech Private Limited,1st/A-375, V V Colony,Dist. Sonabhadra,Shaktinagar-231 222, **Shillong :** Karvy Fintech Private Limited,Annex Mani Bhawan ,Lower Thana Road,Near R K M Lp School, Shillong - 793 001, **Shimla :** Karvy Fintech Private Limited,Triveni Building,By Pas Chowk; Khallini,Shimla - 171 002, **Shimoga :** Karvy Fintech Private Limited,SRI MATRA NAIKA COMPLEX, 1ST FLOOR, ,ABOVE SHIMOGA DIAGNOSTIC CENTRE,LLR ROAD, DURGIGUDI,Shimoga - 577201, **Shivpuri :** Karvy Fintech Private Limited,1ST Floor, M.P.R.P. Building,Near Bank of India, ,Shivpuri-473 551, **Sikar :** Karvy Fintech Private Limited,1ST Floor, Super Towers,Behind Ram Mandir, Station Road,Sikar-332001, **Silchar :** Karvy Fintech Private Limited,1St Floor, Chowchakra Complex,N N Dutta Road, Premtala,Silchar - 788001, **Siliguri :** Karvy Fintech Private Limited,Nanak Complex, Near Church Road,Sevoke Road, Siliguri - 734001,**Sitapur :** Karvy Fintech Private Limited,12/12-A Surya Complex, Arya Nagar, Opp. Mal Godam, Sitapur - 261001, **Sivakasi :** Karvy Fintech Private Limited ,363, Thiruthangal Road,Opp : Tneb,Sivakasi 626 123, **Solan :** Karvy Fintech Private Limited,Sahni Bhawan,Adjacent Anand Cinema Complex, The Mall,Solan-173 212, **Solapur :** Karvy Fintech Private Limited,Block No 06,Vaman Nagar, Opp D-Mart,Jule Solapur,Solapur-413 004, **Sonepat :** Karvy Fintech Private Limited,205 R Model Town,Above Central Bank Of India,Sonepat-131001, **Sri Ganganagar :** Karvy Fintech Private Limited,35-E-Block, Opp. ,Sheetla Mata Vatika, ,Sri Ganga Nagar - 335001, **Srikakulam :** Karvy Fintech Private Limited,D No 4-4-97, First Floor ,Behind Sri Vijayaganapathi Temple,Pedda relli veechi, Palakonda Road,Srikakulam - 532001, **Sultanpur :** Karvy Fintech Private Limited,Rama Shankar Complex,Civil Lines, Faizabad Road,Sultanpur-228 001, **Surat :** Karvy Fintech Private Limited,Office no : -516, 5th Floor, Empire State building, Near Udhna Darwaja, Ring Road,Surat-395002, **Thanjavur :** Karvy Fintech Private Limited,Nallich Complex,No.70, Srinivasam Pillai Road,Thanjavur - 613001, **Thodupuzha :** Karvy Fintech Private Limited,First Floor, Pulimootil Pioneer,Pala Road,Thodupuzha - 685584, **Tirunelveli :** Karvy Fintech Private Limited,Jeney Building, 55/18, S N Road,Near Arvind Eye Hospital,Tirunelveli - 627 001, **Tirupathi :** Karvy Fintech Private Limited,H.No : 10-13-425, 1st Floor, Tilak Road, ,Tilak Road,Opp : Sridevi Complex, Tirupati - 517501, **Tirupur :** Karvy Fintech Private Limited,First Floor, 224 A, ,Selvakumar Departmental Stores, 1st Floor,Kamaraj Road,Opp To Cotton Market Complex,Tirupur - 641 604, **Tiruvalla :** Karvy Fintech Private Limited,2nd Floor, Eriinjery Complex,Near Kotak Securities, Ramanchira,Tiruvalla - 689107, **Trichur :** Karvy Fintech Private Limited,2Nd Floor, Brother'S Complex,Near Dhana Laxmi Bank Head Office,Naikkanal Junction,Trichur - 680 001, **Trichy :** Karvy Fintech Private Limited,Sri Krishna Arcade,1St Floor; 60 Thennur High Road,Trichy - 620 017, **Trivandrum :** Karvy Fintech Private Limited,2Nd Floor, Akshaya Towers,Above Jetairways, Sasthamangalam,Trivandrum - 695 010., **Tuticorin :** Karvy Fintech Private Limited,4 B, A34, A37, Mangalmal,Mani Nagar, Opp : Rajaji Park, Palayamkottai Road,Tuticorin - 628003, **Udaipur :** Karvy Fintech Private Limited,201-202, Madhav Chambers, Opp. G.P.O,Chetak Circle, Madhuban,Udaipur-313001, **Ujjain :** Karvy Fintech Private Limited,101, Aastha Tower, 13/1, ,Dhanwantri Marg, Free Gunj,Ujjain-456010, Valsad : Karvy Fintech Private Limited,Shop No 2, Phiroza Corner,Opp Next Showroom; Tithal Road, Valsad - 396001, **Vapi :** Karvy Fintech Private Limited,Shop no-12 , Shital Apartment ,Opp K P Tower ,Imran Nagar ,Silvassa Road ;Vapi-396195, **Varanasi :** Karvy Fintech Private Limited,D-64/132,KA 1st Floor, Anant Complex,Sigra, ,Varanasi - 221 010, **Vellore :** Karvy Fintech Private Limited,No. 6, NEXUS Towers, 2nd Floor, Officer's Line,Above Peter England & Bata Showroom, opp. To Voorhees School,Vellore - 632001, **Vijayanagaram :** Karvy Fintech Private Limited,"Soubhagya", 19-6-13/1,Il nd Floor, Near Sbi Fort Branch,Vijayanagaram-535 002, **Vijayawada :** Karvy Fintech Private Limited,39-10-7 Opp : Municipal Water Tank, Labbipet,Vijayawada - 520 010, **Visakhapatnam :** Karvy Fintech Private Limited,Door No : 48-8-7,Dwaraka Diamond, Ground Floor, Srinagar,Visakhapatnam - 530 016, **Warangal :** Karvy Fintech Private Limited,5-6-95, 1st floor , opp : B. Ed collage,Lashkar Bazar, ,Chandra Complex,Hanmakonda,Warangal - 506001, **Yamuna nagar :** Karvy Fintech Private Limited,Jagdhari Road, Above Uco Bank,Near D.A.V. Grils College,Yamuna Nagar-135 001, **Andheri :** Karvy Fintech Private Limited,6 & 7, Andheri Industrial Estate,Veera Desai Road,Andheri (west) ,Mumbai - 400053, **Chembur :** Karvy Fintech Private Limited,Shop No 4 , Ground Floor, Shram Safiya Bldg,N G Acharya Marg,Chembur, Mumbai - 400071, **Vashi :** Karvy Fintech Private Limited,Shop No.43-A, Ground Floor, Vashi Plaza,Sector-17Near Apna Bazar,Vashi, Mumbai - 400705, **Vile Parle :** Karvy Fintech Private Limited,104, Sangam Arcade , V P RoadOpp : Railway Station ,Above Axis Bank Atm,Vile Parle (west), Mumbai - 400091, **Borivali :** Karvy Fintech Private Limited,Gomati Smuti, Ground Floor,Jambli Gully, Near Railway Station, ,Borivali (West), Mumbai - 400 092, **Thane :** Karvy Fintech Private Limited,201, 2nd Floor, "Matru Chhaya" BLDG,Above Rejewel Jewellery Showroom,Opp. Bedekar Hospital, Near Gaodevi Ground,Thane (West) - 400602, **Dalhousie :** Karvy Fintech Private Limited,R N Mukherjee Road,2Nd Floor, Room no-226,Kolkata - 700001, **T Nagar :** Karvy Fintech Private Limited,G1, Ground Floor,No 22, Vijayaraghava RoadSwathi Court, T Nagar,Chennai - 600017, **Secunderabad :** Karvy Fintech Private Limited,C/o Karvy Fin.Ser.Ltd,Crystal Plaza 2nd Floor , Manday Lane, ,Near Sunshine Hospital, P G Road, ,Secunderabad - 500003, **Adyar :** Karvy Fintech Private Limited,Gokul Arcade,Office No 1, 6Th Floor,No.2 Sardar Patel Road, Landmark : Next To Airtel Show Room,Adyar,Chennai - 600020, **Nanganallur :** Karvy Fintech Private Limited,No 155/7, Ullagam,Medavakkam Main Road (Opp to IDBI ATM),Madipakkam, Chennai - 600 061, **Malleswaram :** Karvy Fintech Private Limited,NO.337, GF-3, KARUNA COMPLEX,SAMPIGE ROADOPP : NEW VEGETABLE MARKET,MALLESHWARAM, Bangalore - 560003, **Koramangala :** Karvy Fintech Private Limited,Aaryaa Center;1st Floor,Municipal No : 01;MIG KHB colony,1 A cross, 5th block,opp : Post Office,Koramangala, Bangalore - 560095, **Gomtinagar :** Karvy Fintech Private Limited,B-1/2, Vijay Khand, ,Near Union Bank Of India,Gomti Nagar, Lucknow - 226010, **Aliganj :** Karvy Fintech Private Limited,Hig-67, Sector E,Aliganj, Lucknow - 226024, **Alambagh :** Karvy Fintech Private Limited,Ksm Tower, Cp-1 Sinder Durg, ,Near Alambagh Bus Station, ,Alambagh, Lucknow - 226005

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