



# QUANTUM SMALL CAP FUND

(An Open-Ended Equity Scheme Predominantly Investing in Small Cap Stocks)

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

New Fund Offer Opens on: October 16, 2023  
New Fund Offer Closes on: October 27, 2023

Scheme Reopens For Continuous Sale & Repurchase on: November 10, 2023

## 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).

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

This KIM is dated September 18, 2023.

### MUTUAL FUND

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

### TRUSTEE

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

### SPONSOR

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

### INVESTMENT MANAGER

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

## Product Labeling

Name of the Scheme & Tier I Benchmark	This product is suitable for investors who are seeking*	Risk-o-meter of Scheme#	Risk-o-meter of Tier I Benchmark
<p>Quantum Small Cap Fund</p> <p>(An Open-Ended Equity Scheme Predominantly Investing in Small Cap Stocks)</p> <p><b>Tier I Benchmark:</b> S&amp;P BSE 250 Small Cap TRI</p>	<ul style="list-style-type: none"> <li>• Long term capital appreciation</li> <li>• Investment in Small Cap Stock</li> </ul>	<p>Investors understand that their principal will be at Very High Risk</p>	

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

#The product labeling assigned during the NFO is based on internal assessment of the scheme characteristics or model portfolio and the same may vary post NFO when the actual investments are made. For latest riskometer, investors may refer to the Monthly Portfolios disclosed on the website of the Fund [www.QuantumAMC.com](http://www.QuantumAMC.com)



<b>Investment Objective</b>	The Investment Objective of the Scheme to generate capital appreciation by investing predominantly in Small Cap Stocks.  There is no assurance that the investment objective of the scheme will be achieved.
<b>Category Of Scheme</b>	Small Cap Fund
<b>Type of the Scheme</b>	An Open-Ended Equity Scheme Predominantly Investing in Small Cap Stocks
<b>Scheme code</b>	QTMM/O/E/SCF/23/09/0012

<b>Asset Allocation Pattern of the scheme</b>	The asset allocation under the Scheme, under normal circumstances, will be as follows:			
	<b>Instruments</b>	<b>Indicative allocations (% of total assets)</b>		<b>Risk Profile</b>
		<b>Minimum</b>	<b>Maximum</b>	<b>High/Medium/Low</b>
	Equity & Equity Related Instruments of Small Cap Companies*	65	100	Very High
	Equity & Equity Related Instruments of Companies other than Small Cap Companies	0	35	Very High
Debt and Money Market Instruments	0	35	Low to Moderately High	
<p>*Small Cap Companies, for the purpose of the fund are defined as companies which are ranked 251 company onward in terms of full market capitalization Pursuant to para-No. 2.7 of SEBI Master Circular No. SEBI /HO/ IMD/ IMD-PoD-1 / P/ CIR / 2023/74 dated May 19,2023.</p> <p>Pending deployment of funds of the Scheme in terms of the investment objective of the Scheme, the AMC may invest the funds of the Scheme in short term deposits of scheduled commercial banks period not exceeding 91 days in accordance with the SEBI Guidelines.</p> <p>The Scheme may enter into repos/reverse repos as may be permitted by RBI/SEBI. From time to time, the Scheme may hold cash. A part of the net assets may be invested in the Tri-party Repos on Government Securities or treasury bills (TREPS) or repo or in an other investment as may be provided by RBI to meet the liquidity requirements, subject to regulatory approval, if any.</p> <p>The Scheme will not Invest in Unrated Debt Instruments, Credit Default Swaps, Securitized Debt / Structured Obligations, Credit Enhanced Debt, Repo / Reverse Repo of Corporate Debt Securities, REITs, InvITs, Debt Instruments having special features, derivatives, ADRs / GDRs, Overseas Securities, stock lending or engaged in the short selling.</p> <p>The Scheme may invest in other schemes managed by the AMC or in the schemes of any other mutual funds in conformity with the investment objective of the Scheme and in terms of the SEBI (MF) Regulations. Provided that aggregate interscheme investment made by all schemes under the same management or in schemes under the management of any other asset management company shall not exceed 5% of the net asset value of the mutual fund.</p> <p>The cumulative gross exposure through all permissible investments viz. Equity &amp; Equity Related Instruments and Debt &amp; Money Market Instruments shall not exceed 100% of the net asset of the Scheme Pursuant to para-No. 12.24 of SEBI Master Circular No. SEBI /HO/IMD/ IMD-PoD-1 / P/ CIR / 2023/74 dated May 19, 2023.</p> <p>Cash and cash equivalents as per SEBI letter no. SEBI/HO/ IMD-II/DOF3/ OW/P/ 2021/ 31487 / 1 dated November 03, 2021 which includes T-bills, Government Securities and Repo on Government Securities having residual maturity of less than 91 Days, shall not be considered for the purpose of calculating gross exposure limit.</p>				

<b>Investment Strategy</b>	<p>The Fund seeks to generate capital appreciation by building and maintaining a diversified portfolio, predominantly of Small Cap stocks. The Fund might also have exposure to other equity &amp; equity related instruments depending on the opportunities that broad equity markets provide from time to time. On defensive or liquidity considerations, the Fund may also invest in debt and money market instruments.</p> <p>Equities have the potential to generate higher returns than most other asset classes over a longer period of time. In equities, Small Cap Companies are potential mid / large caps of tomorrow. These companies offer high growth potential investment opportunity as compared to large cap and mid cap companies due to its differentiated product or market segment providing an ability to gain market share and a smaller base of operation with the potential to expand over a period of time. Also, many such companies are relatively lesser known by market participants and hence lack sufficient price discovery, room for P/E expansion as the company grows over a period of time, both present an investment opportunity from a valuation standpoint.</p> <p>The investment strategy of the Scheme will be to invest in a basket of stocks after using intensive fundamental analysis, both quantitative and qualitative, monitor the portfolio actively but not so as to engage in excessive trading, and control risk by keeping the portfolio adequately diversified (both in terms of the sectors included in the portfolio as well as with respect to the level of concentration of any particular investment).</p>
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## Our Investment Criteria: Growth At Reasonable Price (GARP)

### Evaluate:

- The business of the company
- The environment in which it operates
- The management, and their long-term goals
- Can the financials support the long-term goals?
- Sustainable Cash flow generation

### Analyze:

- The stock price of the company based on fundamentals on a standalone basis or relative to its peer group, its history, and the market
- PER, PCF, P/BV, Div Yld, EV/EBITDA

### Buy:

- Current price is trading at a reasonable upside based on our internal estimated value

### Sell:

- Current price is > our estimate of long-term value; Risk / Reward
- Better Investment Alternatives
- Changed view of management, Changed view of business

The primary focus of the Scheme will be on companies that will typically be Small Cap Companies with due consideration to market cap and liquidity of the stocks under evaluation. The aim of strategy will be to predominantly build a portfolio of small-cap companies which have:

- a. potential for growth
- b. good capital allocation
- c. sustainable business model and cash flows
- d. reasonable valuations that offer potential for capital appreciation
- e. high standards of corporate governance

In addition to the above, in selecting stocks for the portfolio, the Fund Manager will also focus on the fundamentals of the business, the industry structure, sensitivity to economic factors, the financial strength of the company and the key catalyst for earnings growth.

Valuations will be developed based on the business of the company, the environment in which it operates the skills and resources of its management, the strength of its balance sheet and cash flow relative to its long-term goals, and other fundamental sector criteria. While the portfolio focuses primarily on a buy and hold strategy at most times, it will balance the same with a rational approach to selling when the valuations become too demanding even in the face of reasonable growth prospects in the long run or if there are adverse changes to that company's management, business prospects or the markets in which that company operates or other better alternatives if available.

## Investment Process and Recording of Investment Decisions

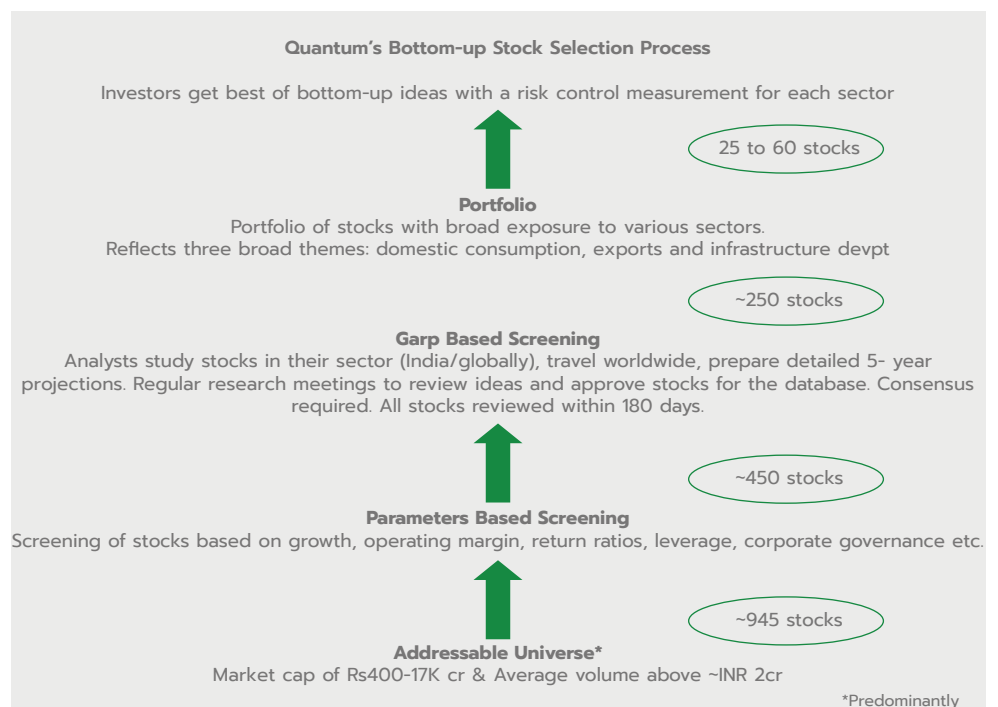
### Investment Process

The investment process consists of:

1. Stock selection
2. Portfolio construction

#### 1. Stock Selection

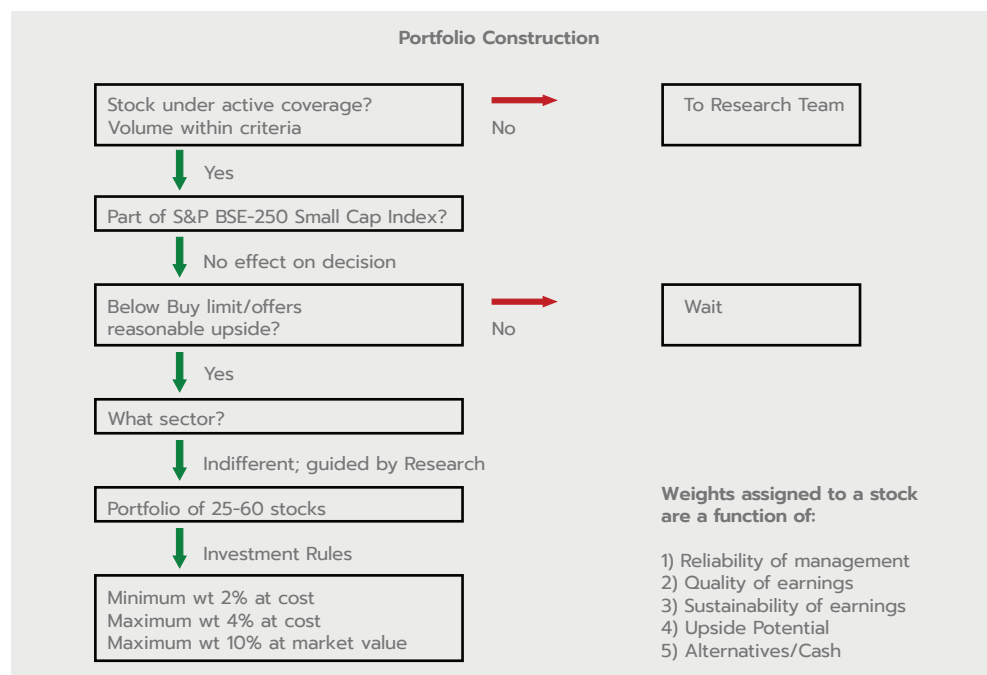
The AMC's stock selection approach is basically bottom up and is depicted below:



- a. Analysts study stocks in their sector in India with global comparisons wherever necessary. The core universe is generally the Small Cap universe with starts from the 251<sup>st</sup> stock when sorted by market cap and will have flexibility to include stocks above it as well as new issues from time to time. Research includes visit notes, financial models, and investment thesis, supplemented with broker research.
- b. Portfolio of stocks with broad exposure to various sectors. Investors get best of bottom-up ideas with a risk control measurement for each sector (generally consists of 25 – 60 stocks).

**2. PORTFOLIO CONSTRUCTION**

- a) Stock has to be under active and current coverage.
- b) Every stock in the AMC’s database has a pre – assigned Buy / Sell Limit. This is an INR price based on underlying fundamental sector criteria.
- c) The AMC generally buys a new stock at the pre-determined Buy price and generally sells an existing stock at the pre-determined Sell price or above. It may also buy / add to a stock at a price that is different to its buy price depending on the relative attractiveness of stock considering factors like upside potential and other investment merits. The Scheme could also sell a stock below its sell price if there are visible risks to the target price or any management concerns or if other opportunities are more attractive.
- d) The AMC has adopted Tier -1 Benchmark – S&P BSE 250 Small Cap TRI which demonstrate the Investment Style / Strategy of the AMC. The AMC is indifferent to whether a stock, the Scheme owns, is in the S&P BSE 250 Small Cap TRI or not although it recognizes its effect on liquidity.
- e) The AMC does not make sector calls. It follows a bottom up stock selection.
- f) The AMC’s portfolio management style is conducive to a low portfolio turnover rate. The scheme being an open ended scheme, it is expected that there would be frequent subscriptions and redemptions. Hence, it is difficult to estimate with any reasonable measure of accuracy, the likely turnover in the portfolio. If trading is done frequently there may be an increase in transaction cost such as brokerage paid etc. The Fund Manager will endeavor to optimize portfolio turnover to maximize gains and minimize risks keeping in mind the cost associated with it.
- g) The Scheme has no specific target relating to portfolio turnover.



**Risk Profile of the Scheme**

**Standard Risk Factors:**

- Investment in Mutual Fund Units involves investment risks such as trading volumes, settlement risk, liquidity risk, default risk including the possible loss of principal.
- As the price / value / interest rates of the securities in which the scheme invests fluctuate, the value of your investment in the scheme may go up or down depending on the various factors and forces affecting the capital markets and money markets.
- Past performance of the Sponsor/AMC/Mutual Fund does not guarantee future performance of the scheme.
- The name of the scheme does not in any manner indicate either the quality of the scheme or its future prospects and returns.
- The sponsor is not responsible or liable for any loss resulting from the operation of the scheme beyond the initial contribution of Rs. 1,00,000/- made by it towards setting up the Fund.

- The present scheme is not a guaranteed or an assured return scheme.

**Scheme Specific Risk Factors are summarised below:**

- Risks associated with investments in Equity and Equity related instruments. - Market Risk, Liquidity Risk, Foreign Exchange Risk, Corporate Governance Risk, Legislative Risk, Geopolitical Risk.
- Risk Related to Debt & Money Market Instruments – Interest Rate Risk / Market Risk, Credit Risk or Default Risk, Liquidity Risk, Concentration Risk, Settlement Risk, Re-investment Risk, NAV performance Risk.
- Risks associated with Segregated Portfolio.

Please read SID carefully for details on risks before investing.

**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.

**Risk Associated with Equity & Equity Related Instruments**

Type of Risks	Risk Management Strategies
<b>Quality risk:</b> Risk of investing in unsustainable /weak companies	Investment universe is selected after due diligence based on the quality of business, management capabilities, nature of industry, history of the company, promoter background etc. and we will also endeavour to meet company officials to get an update on the information about the companies.
<b>Price risk:</b> Risk for overpaying for a company	A number of valuation tools are applied to judge the fair value of the companies and investment is made only if there is reasonable upside in the stock price.
<b>Concentration risk</b>	The investments are made in stocks across a number of sectors to ensure the diversification.
<b>Liquidity risk:</b> High impact cost	The Investments are made only in such stocks which has enough trading volume to support the allocation made in the stock from the portfolio.
<b>Volatility risk:</b> price volatility due to company or portfolio specific factors	The endeavor is to create a well diversified portfolio and thereby minimize company or sector specific volatility. Also, for hedging the portfolio, the fund would seek to rely on any residual cash ; when the stocks / markets go up sharply above the comfort level at that time, such stock will be sold and cash will be retained until there is no further good opportunity to invest.
<b>Event risk:</b> Price risk due to company or sector specific events	Regular meetings with the companies and internal meetings of portfolio team helps to identify and resolve the Event Risk.

**Risk Associated with Debt & Money Market Instruments**

Type of Risks	Risk Management Strategies
<b>Interest Rate Risk</b>	Since the Scheme can invest in short term and long-term instruments; interest rate risk is inherent in the portfolio.  The management of interest rate risk is then a function of the quality of the fixed income research inputs and the active investment management strategy.  Since the Scheme will not invest in derivatives, the management of interest rate risk would be achieved by diversification and altering the Scheme maturity profile at appropriate times.
<b>Credit and Default Risk</b>	The Scheme investment strategy limits the investments in debt instruments issued by private (non-government) companies. This reduces the inherent credit / default risk of the portfolio.  The internal guidelines of the AMC also limit the investment in lower rated instruments. The Scheme has to necessarily invest a major portion of its investments in Treasury securities, government bonds and/or PSU Bonds thus lowering the overall credit risk in the portfolio.
<b>Liquidity Risk</b>	With the overall improvement in the reporting and transparency of traded market data of all debt and money market instruments, the Investments Team can gauge the liquidity of individual instruments in the portfolio. By this, the Scheme can also determine the time taken to liquidate the position based on historical traded data.

<b>Concentration Risk</b>	<p>Quantum Mutual fund has a well laid out investment policy, applicable to all its debt schemes, which has set pre-defined limits of exposure to each security based on its maturity and credit profile.</p> <p>This ensures that the portfolio is not overly concentrated to one issuer or industry.</p> <p>Adequate portfolio liquidity can also help limit the losses due from large portfolio redemption.</p>
<b>Counterparty Risk</b>	<p>The Fund has single party counter-party limits to limit the damages from a failed settlement or delayed settlement by counterparty.</p> <p>Counterparty risk is also a function of the nature of the instrument and mode of settlement being followed.</p> <p>For instance, in government securities, the settlement of all trades are done through a clearing corporation thus ensuring lower likelihood of failed settlements and counterparty risk.</p>
<b>Settlement Risk</b>	<p>Government securities, T-bills, SDLs, TRI-Party Repo are now settled through a counter party clearing mechanism operated and managed by CCIL (clearing Corporation of India Ltd). This has vastly reduced settlement failures in these securities.</p> <p>Although, corporate bonds are still settled on a DVP basis, but the trades are now routed through a clearing corporation. This limits settlement failures arising out of a bilateral settlement.</p> <p>Our counterparty exposure norms also limit the risks of a failed settlement on the overall portfolio.</p>

## 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.

The Trustees reserves the right to introduce a new Option/ Plan at a later date, subject to the SEBI Regulations.

## Applicable NAV

### Applicable NAV During NFO:

The Units are being offered at 10 per Unit during the New Fund Offer Period.

### Applicable NAV: (After the scheme opens for repurchase & sale):

#### SUBSCRIPTION/PURCHASE INCLUDING SWITCH-INS:-

- a. In respect of valid application received upto 3.00 p.m. on a Business Day at the official point(s) of acceptance and funds for the entire amount of subscription/ purchase (including switch in) as per the application are credited to the bank account of the Scheme and are available for utilization before the cut-off time (3.00 p.m.), the closing NAV of the day shall be applicable;

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

It may be noted that in case of Systematic Investment Plan (SIP), Systematic Transfer Plan (STP), Transfer of Income Distribution Cum Capital Withdrawal Facility, the units will be allotted based on the funds available for utilization by the respective schemes / target schemes irrespective of the installment date of the SIP, STP or record date of income distribution.

**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 Re. 1 thereafter
- B. Additional Purchase: Rs. 500 /- and in multiples of Re.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 Re.1 thereafter OR accounting balance whichever is less / 50 units.

The minimum application / redemption amount shall not be applicable for investments made by the Designated Employees of the AMC in scheme Pursuant to para-No. 6.10 of SEBI Master Circular No. SEBI / HO/IMD/ IMD-PoD-1 / P/ CIR / 2023/74 dated May 19,2023. Alignment of interest of Designated Employees of Asset Management Companies (AMCs) with the Unitholders of the Mutual Fund Schemes.

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

- (i) Daily – ₹100 and multiple of Re. 1 thereafter
- (ii) Weekly / Fortnightly / Monthly / Quarterly – ₹500 and in multiples of Re. 1 thereafter

**Systematic Withdrawal Plan (SWP):**

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

**Dispatch of Repurchase (Redemption) Request**

The redemption or repurchase proceeds shall be dispatched / credited to the registered bank account of the unitholders within 3 Working Days from receipt of valid redemption or repurchase request.

**Benchmark Tier 1**

S&P BSE 250 Small Cap TRI

**Income Distribution Policy**

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

**Name of the Fund Manager (s) & Tenure of Managing the Scheme**

Mr. Chirag Mehta – Fund Manager  
Mrs. Abhilasha Satale - Associate Fund Manager  
  
Tenure of the Fund Manager: This is the new scheme.

**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

### 1. Load Structure

Type of Load	Load chargeable (as % of NAV)
Entry Load/Switch in Load	Not Applicable *
<b>Exit Load/ Switch Out Load:</b>	
10% of units If redeemed or switched out on or before 365 days from the date of allotment.	NIL
Remaining 90% of units if redeemed or switched out on or before 365 days from the date of allotment.	1
If redeemed or switched out after 365 days from the date of allotment.	NIL
<b>Note: Redemptions / Switch outs of units will be done on First In First Out (FIFO) basis.</b>	

(\*) Pursuant to para-No. 10.4.1 of SEBI Master Circular No. SEBI /HO/IMD/ IMD-PoD-1 / P/ CIR / 2023/74 dated May 19, 2023 there will be no entry load charged to the schemes of the Mutual Fund.

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

### 2. Recurring Expenses

These are the fees and expenses for operating the scheme. These expenses include, Registrar and Transfer Agent fee, marketing and selling costs, custody fees etc.

The estimated recurring expenses of the Scheme are as under:

Expense Head	% of daily Net Assets
Investment Management and Advisory Fees	Up to 2.25%
Trustee fee	
Audit fees	
Custodian fees	
Registrar & Transfer Fees	
Marketing & Selling expense including agent commission	
Cost related to investor communications	
Cost of fund transfer from location to location	
Cost of providing account statements and IDCW redemption cheques and warrants	
Costs of statutory Advertisements	
Cost towards investor education & awareness (at least 2 bps) ^	
Goods and Services tax on expenses other than investment and advisory fees	
Goods and Services tax on brokerage and transaction cost	
Other expenses*	
<b>Maximum total expense ratio (TER) permissible under Regulation 52 (6) (C)</b>	Up to 2.25 %

\* as permitted under the Regulations.

^ Investor Education and Awareness initiatives

Pursuant to para-No. 10.1.16 of SEBI Master Circular No. SEBI /HO/IMD/ IMD-PoD-1 / P/ CIR / 2023/74 dated May 19, 2023 the AMC shall annually set apart at least 2 basis points p.a. (i.e. 0.02% p.a.) on daily net assets of the Scheme within the limits of total expenses prescribed under Regulation 52 of SEBI (MF) Regulations for investor education and awareness initiatives undertaken by the Fund.

The Total Expense Ratio of Direct Plan will be lower to the extent of the distribution expenses / commission which is charged to the Regular Plan.

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 expensed out in the scheme to the extent of 0.12% for cash market transactions. Brokerage and transaction costs exceeding of 0.12% for cash market transactions if any may be charged to the scheme within the maximum limit of TER as prescribed under regulation 52 of the Regulations.

No other additional expenses which are allowed to charge in terms of SEBI Regulations 52 (6A), (b) & (c) shall be charged to the Scheme.

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). The Fund would update the current expense ratio of the scheme on the website at least three working days prior to the effective date of the change. Investor can refer <https://www.quantumamc.com/total-expense-ratio/report-1> for total expense ratio details. Additionally, the Fund will disclose the Total Expense Ratio (TER) of the Scheme on daily basis on the website of AMFI ([www.amfiindia.com](http://www.amfiindia.com)).

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 maximum recurring expenses of the Scheme, including the investment management and advisory fee, together with additional expenses if any, shall not exceed the limits prescribed under Regulation 52 of the SEBI (Mutual Funds) Regulations 1996 read with the SEBI Master circular dated May 19, 2023.

#### Transaction Charges

Pursuant to para-No. 10.5.1 of SEBI Master Circular No. SEBI /HO/IMD/ IMD-PoD-1 / P/ CIR / 2023/74 dated May 19,2023, 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 para-No. 10.4 of SEBI Master Circular No. SEBI /HO/IMD/ IMD-PoD-1 / P/ CIR / 2023/74 dated May 19, 2023 no Entry Load shall be charged for all mutual fund schemes. Therefore, the procedure for waiver of load for direct applications is no longer applicable.

#### Tax treatment for the Investors (Unitholders)

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

#### Daily Net Asset Value (NAV) Publication

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 of units under the NFO Period.

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.QuantumAMC.com](http://www.QuantumAMC.com) and on the website of Association of Mutual Funds in India [www.amfiindia.com](http://www.amfiindia.com) by 11.00 p.m. on every Business Days.

Investors may obtain latest NAV through SMS by a specific request to the AMC.

#### For Investor Grievances please contact

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

Investor may contact the AMC for any Queries / Clarifications / Complaints to Mr. Chandrasen Manjrekar – Vice President Customer Relations at Email – [CustomerCare@QuantumAMC.com](mailto:CustomerCare@QuantumAMC.com), Telephone number – 1800 209 3863 / 1800 22 3863 (Toll Free). Ms. Rina Nathani – Investor Relation Officer (IRO) can be contacted at Quantum Asset Management Company Private Limited, 6th Floor, Hoechst House, Nariman Point, Mumbai – 400021, Telephone Number 022-61447800, Email [IRO@Quantumamc.com](mailto:IRO@Quantumamc.com) For any grievances with respect to transactions through Stock Exchange Platform for Mutual Funds, the investors should approach either the stockbroker or the investor grievance cell of the respective stock exchange. The AMC has Grievance Policy which is available on AMC website <https://www.quantumamc.com/policy>.

#### Risk-o-meter & Scheme summary Document

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

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

The evaluation of risk levels of a scheme shall be done Pursuant to para-No. 17.4 of SEBI Master Circular No. SEBI /HO/IMD/ IMD-PoD-1 / P/ CIR / 2023/74 dated May 19, 2023 .

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

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

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

## Unitholders' Information

### Account Statement/Allotment Confirmation:

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

Thereafter, a Consolidated Account Statement for each calendar month shall be sent by mail / email on or before 15th of the succeeding month to the unit holders by the Depository for unit holders having Mutual Fund investments and holding demat account and by the AMC / Registrar for unit holders having Mutual Fund investments but do not have demat account for each calendar month in whose folios transactions have taken place during the month. The CAS shall contain details relating to all the transactions carried out by the investor / unit holder across all schemes of all mutual funds or transactions in demat account during the month and holding at the end of the month. Such transactions in mutual funds shall include purchase, redemption, switch, IDCW payout, IDCW reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan transactions. The CAS shall also include the total purchase value / cost of investment in each scheme.

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

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

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

For the purpose of sending the CAS, common investors / unitholders with the same holding pattern of the folio across mutual funds / depository shall be identified by their Permanent Account Number (PAN). In case of multiple holdings, it shall be identified on the basis of PAN of first holder and pattern of holding.

The CAS shall not be received by the Unit holders for the folio(s) not updated with PAN details. The unit holders are therefore requested to ensure that the folio(s) are updated with their PAN.

In the event of the folio is having more than one registered / joint holders, the CAS shall be sent to the first named unit holder and not to other registered / joint holders.

The CAS detailing holding across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/e-mail as per the timeline specified by the SEBI from time to time i.e. on or before 21st day of succeeding month by the AMC / Registrar to all such investors / unit holders which do not have demat account and in whose folio no transactions has taken place during the period.

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

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

### Annual Report:

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

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

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

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

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.

**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)). Further, the Fund shall publish an advertisement disclosing the hosting of such unaudited half yearly financial results on their website, in at least one national English daily newspaper having nationwide circulation and in newspaper having wide circulation published in the language of the region where the Head Office of the Mutual Fund is situated.

**Email ID and Mobile Number for communication:**

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

## INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM

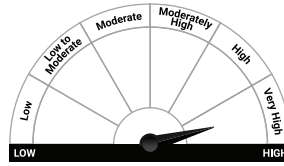
### 1. Scheme features and investment details

**QUANTUM SMALL CAP FUND**  
**An Open-Ended Equity Scheme**  
**Predominantly Investing in Small Cap**  
**Stocks**

This product is suitable for investors who are seeking\*  
 • Long term capital appreciation  
 • Investment in Small Cap Stock

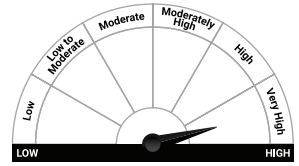
**Tier I Benchmark: S&P BSE 250 Small Cap TRI**

**RISK-O-METER**  
**OF SCHEME<sup>#</sup>**



Investors understand that their principal will be at Very High Risk

**RISK-O-METER**  
**OF TIER I BENCHMARK**



\*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.  
<sup>#</sup>The product labeling assigned during the NFO is based on internal assessment of the scheme characteristics or model portfolio and the same may vary post NFO when the actual investments are made. For latest riskometer, investors may refer to the Monthly Portfolios disclosed on the website of the Fund [www.QuantumAMC.com](http://www.QuantumAMC.com).

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

### 2. General Instructions

- a) Please read the Key Information Memorandum, Scheme Information Document (SID) of the respective scheme(s) and Statement of Additional Information (SAI) containing the terms of offer carefully before investing.
- b) Please Tick (✓) in the appropriate box (☐), where boxes have been provided.
- c) Application Form should be filled legibly in ENGLISH in BLOCK letters using Black or Dark Blue ink. Incomplete application forms are liable to be rejected. Please refer to the checklist at the end of the application form to ensure that the requisite details and documents have been provided in order to avoid unnecessary delays and / or rejection of your application.
- d) Please strike out any section that is not applicable. Correction/Cancellation on any of the information should be countersigned by the investor.
- e) All applicants are deemed to have accepted the terms subject to which the offer is being made and bind themselves to the terms upon signing the Application Form and tendering the payment.
- f) In case of applications under Power of Attorney or by a Limited Company or by a Corporate Body or Eligible Institution or a Registered Society or a Trust or a Fund the original Power of Attorney or the certified copy thereof duly notarised and the relevant resolution or authority to make the application, as the case may be including authority granted in favour of the officials signing the application and their specimen signature etc., or duly certified copy thereof alongwith a certified copy of the Memorandum and Articles of Association and/or bye-laws and/or trust deed and/ or partnership deed and certificate of registration must be lodged at the office of the Registrar, quoting the serial number of application simultaneously with the submission of the Application Form, failing which the application is liable to be rejected.
- g) All communications and payments will be made to the sole/first applicant or to the Karta in case of HUF. Confirmation may also be sent to all joint holders.
- h) While processing the redemption/switch out request in case Quantum AMC/Registrar come across a signature mismatch, then Quantum AMC/Registrar reserves the right to process the redemption/switch only on the basis of supporting documents confirming the identity of the investors. List of such documents would be notified by Quantum AMC from time to time.
- i) Investors who wish to make Systematic Investment Plan (SIP) will need to complete and submit the Application Form along with the SIP Application Form.
- j) Quantum Mutual Fund does not levy any transaction charges to pay to the distributors and will invest the whole subscription amount received and units will be allotted accordingly.
- k) Direct Plan: An investor who has made the investment directly from the Mutual Fund or through RIA (mentioned RIA code) needs to select the Plan as 'Direct'.  
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 and Name & 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. As per Circular issues by The Central Board of Direct Taxes (CBDT) all Individuals (except exempted category) to link permanent account number (PAN) with Aadhaar number. It is mandatory for all taxpayers to complete the linking process as any non-compliance will mean that the PAN will become inoperative from July 1, 2023.

### 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:

- i. Individual investors.
- ii. Non-individual investors such as Companies, Body Corporates, Association of Persons, Banks, Financial Institutions, Funds, Trusts, Societies, Hindu Undivided Family (HUF), Partnership Firms, Foreign Institutional Investors, Limited Liability Partnerships etc.
- iii. 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](http://www.QuantumMF.com) and AMFI website [www.amfiindia.com](http://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

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

- k. Please provide email ID & Mobile Number, this will help us send investment / product related communication and resolve any queries more promptly. This is compulsory for all electronic/telecommunication facilities available now and to be introduced in future. Please declare if the Email Id and Mobile Number of the respective applicants belongs to Self / Spouse / Dependent Children / Dependent siblings / Dependent Parents / Guardian
- l. In the event the application has more than one investor and the mode of holding is not specified in the application form, the default option for holding would be considered to be "anyone or survivor". However, in all such cases, communications, proceeds of all income distribution/redemption will be paid to the first named holder. m. The minor shall be the first and the sole holder in an account. There shall not be any joint accounts with minor as the first or joint holder.
- n. Date of birth of the minor along with photocopy of supporting documents as enumerated below shall be mandatory while opening the account on behalf of minor:
  - 1. Birth certificate of the minor, or 2. School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or 3. Passport of the minor, or 4. Any other suitable proof evidencing the date of birth of the minor.
- o. Guardian in the folio on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian.
- p. If guardian is a legal guardian then a court order duly notarized copy is to be attached along with the application.
- q. 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. Online / Telephonic PIN

An online PIN is generated at the time of the online transaction for a new investment from our website / mobile application which is sent to the email id furnished while investing. It is used for making online transactions from our website like Insta-Redemption, Multiple Bank Account Registration, Nomination, Smile Registration, and Folio Consolidation. You can also map your offline folio online using a PIN. It can be also generated online through our website, in case you are unable to recollect. There is a "TPIN" that can be used to know the folio details in the IVR.

#### 9. Electronic/ Telecommunication Facility

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

#### 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/ Certified bank passbook with current entries not older than 3 months or a Bank Letter/Certificate duly signed by Bank Branch Manager/Authorized Personnel. If photocopy of any document is submitted, the copy should be certified by the Bank Manager or self attested copy along with Original documents for verification.

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

##### PAYMENT OF REDEMPTION /INCOME DISTRIBUTION:

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

In the case of NRIs, payments shall be:

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

Investors are requested to provide the following details along with the mandatory requirement of bank account details (bank, branch address, and account type and account no.) in the application form for electronic fund



transfer (EFT) of income distribution / redemption amount to the unit holders bank account. Quantum AMC will automatically extend this facility to all unit holders in case the bank account as communicated by the unit holder is with any of the bank providing EFT facility.

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

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

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

## 11. Mode Of Payment

1. As required by AMFI, Quantum Mutual Fund shall not accept applications for subscriptions with third party payment instruments.
2. Investors may make payment by single Cheque/ DD payable locally in the city where the application form is submitted at Quantum AMC/ K-Fin Technologies Collection Centers or electronic mode such as RTGS/NEFT directly to Mutual Fund Collection account.
3. The cheque should be drawn on any bank which is situated at and is a member/sub member of the bankers clearing house. Cheque drawn on the bank not participating in the clearing house will not be accepted.
4. Payment through Stock invest, outstation cheques and cash will not be accepted. Bank charges for outstation demand drafts will be borne by the AMC and will be limited to the bank charges stipulated by the State Bank of India subject to a maximum limit of ₹50,000 per instrument. The AMC will not bear the bank charges for outstation demand drafts. Outstation Demand Draft has been defined as a demand draft issued by a bank where there is no ISC/Points of Acceptance available for Investors.
5. The cheque should be drawn in favor of "Quantum Mutual Fund & PAN (number)" or Quantum\_(Scheme name) & PAN (number)" and crossed 'Account Payee Only'.
6. Returned cheques will not be presented again for collection and the accompanying application will be rejected.
7. Single cheque for investments in multiple schemes and multiple cheques for investments in Single Scheme will not be accepted.
8. In case of demand drafts, unit holder should attach necessary supporting documents as required by the fund, like Bank certificate in original, self attested Bank Pass Book or statement to prove that the funds are debited from a Bank account held by the first Unit holder only else the fund reserves the right to reject the application or call for additional details.
9. **If paid by RTGS, Bank Account-to-Account Transfer, NEFT etc.:** Investors should attach to the purchase application form, an acknowledged copy of the instruction to the bank also stating the account number debited. The account number mentioned on the transfer instruction copy should be a registered bank account or the first named applicant/investor should be one of the account holders to the bank account. debited for such electronic transfer of funds.
10. **On Repatriation Basis:** In the case of NRIs including PIOs, payment may be made either by inward remittance through normal banking channels or out of funds held in his Non - Resident (External) Rupee Account (NRE) Foreign Currency (Non- Resident) Account (FCNR). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts an account debit certificate from the Bank issuing the draft confirming the debit shall also be enclosed. FIIs 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 in accordance with the relevant exchange management regulations.

**On non-repatriation basis:** NRIs or person of Indian origin residing abroad investing on a non-repatriable basis may do so by issuing cheques/demand drafts drawn on Non-Resident Ordinary (NRO) account payable at the cities where the Official Points of Acceptance are location.

- 11 A. Payment through electronic mode RTGS/NEFT/IMPS:
  - i. For purchase through RTGS / NEFT / IMPS, the investor needs to first complete the fund transfer formalities with the Bank.

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

- ii. After completing the fund transfer through RTGS / NEFT / IMPS mode, the investor needs to mention the payment reference number under the section 'Payment Details' in the main application form.
- iii. Enclose the fund transfer proof alongwith the application form.

**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.QuantumAMC.com](http://www.QuantumAMC.com) All documents should be original/true copies certified by a Director/Trustee /Company Secretary /Authorised signatory / Notary Public.)

Documents	Individual	Minor	NRI	Investment through POA	Sole Proprietorship	HUF	Companies / LLP	Societies	Partnership Firms	Trusts	FII's*	PIO	FPI#
Self Certified PAN Card copy	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
KYC Compliance acknowledgement	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Declaration under FATCA	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Resolution/ Authorization to invest							✓	✓	✓	✓	✓		✓
"List of authorized signatories with specimen signatures"				✓			✓	✓	✓	✓	✓		✓
Memorandum & Articles of Association							✓						
Trust Deed										✓			
Declaration of Ultimate Beneficial Ownership						✓	✓	✓	✓	✓	✓		✓
Bye-laws								✓					
Partnership Deed									✓				
Certificate of Incorporation					✓						✓		✓
Notarized POA				✓									
Proof of Date of Birth		✓											
Proof of Relationship		✓											
PIO card												✓	
Foreign Inward Remittance Certificate												✓	

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

## 12. Nomination Details

- Nomination is mandatory for new folios/accounts opened by all individual. Even those investors who do not wish to nominate must sign separately confirming their non-intention to nominate. Nomination is not allowed in a folio held on behalf of a minor.
- The applicant/unit holders can nominate a person/person (**up to three**) in whom the units held by him shall vest in the event of their death.
- Existing investors where nominee not registered in folio earlier and If the units are held jointly, all joint holders will sign the nomination form.
- In case of multiple nominees, the percentage of allocation/share in favour of each of the nominees should be indicated against their name and such allocation/share should be in whole numbers without any decimals making a total of 100 percent.
- The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly. Non individuals including society, trust, body corporate, partnership firm, Karta of Hindu undivided family (HUF), holder of Power of Attorney cannot nominate.
- If nominee is minor the name, address of the guardian and relationship of the guardian need to be provided by the Unit holder. The Applicant is advised that, the Guardian to a Minor Nominee should be a person other than the Applicant.
- Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
- A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- Nomination in respect of the units stands rescinded upon the transfer of units. In case of multiple nominees, on the death of one or more nominee, the transmission of units shall be made in favour of the remaining nominee(s). Transfer of units in favour of a Nominee shall be valid discharge by the AMC against the legal heir.
- The nomination details as registered with the Depository Participant shall be applicable to unit holders who have opted to hold units in Demat mode.
- 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 the AMC shall not be under any obligation to transfer the units in favour of the Nominee. Investors should note that where the Units are transferred in favour of the nominee, the KYC formalities, as applicable, shall have to be completed by the nominee.
- Every new nomination for a folio/account will overwrite the existing nomination.

## 12. Nomination Details

- Nomination is mandatory for new folios/accounts opened by all individual. Even those investors who do not wish to nominate must sign separately confirming their non-intention to nominate. Nomination is not allowed in a folio held on behalf of a minor.
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- If nominee is minor the name, address of the guardian and relationship of the guardian need to be provided by the Unit holder. The Applicant is advised that, the Guardian to a Minor Nominee should be a person other than the Applicant.
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- Every new nomination for a folio/account will overwrite the existing nomination.

## 13. Demat Account

Unit holders who have provided the Demat Account details will be issued units in demat form on request. Please submit Client Master copy or any documents specifying the name and demat account no. details as a proof of demat account details furnished in the application form.

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

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

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

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

**14. List Of Attachments**

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

**15. 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.

**16. Legal Entity Identifier**

RBI vide circular on "introduction on Legal Entity Identification (LEI) Number for large value Transactions in Centralized Payment Systems" decided to introduce the LEI system for all payment transactions of value INR 50 crore and above for Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT) from April 1, 2021. In view of the same it will be mandatory to include 20-digit LEI onformation while initiating any transaction of value INR 50 crore and above by entities (non-Individual) for purchase and redemption transaction.



# QUANTUM SMALL CAP FUND

An Open-Ended Equity Scheme Predominantly Investing in Small Cap Stocks)

New Fund Offer Opens on: October 16, 2023

New Fund Offer Closes on: October 27, 2023

Scheme Reopens For Continuous Sale & Repurchase on: November 10, 2023

## 1. INTERMEDIARY INFORMATION

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

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. (All sections to be filled in English and in BLOCK LETTERS). Fields marked with (\*) are mandatory.

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

Folio No.  Name of First Applicant

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

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

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

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

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

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

Relationship with Minor  Father  Mother  Legal Guardian

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

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

Relationship Proof (With specified Guardian)  Birth Certificate  Passport  Other

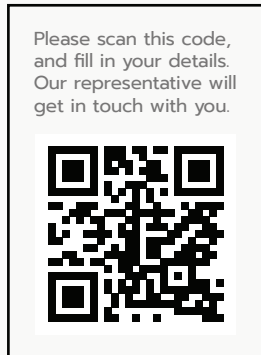
LEI code  valid up to

Legal Entity Identifier Number is Mandatory for transaction value of INR 50 crore and above for non-Individual investors. Refer instruction no. 16)

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

Application No: QMFP

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



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

an application for allotment Scheme **Quantum Small Cap Fund** Plan:  Direct  Regular Option: Growth

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

Amount (₹)

Drawn on Bank and Branch

Collection Center's Stamp & Receipt Date and Time

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





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

City  State  Country  Pin code

Contact Details of Sole/First Applicant Mobile No.  Email ID

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

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 the 2<sup>nd</sup> Applicant Mr./Ms./M/s.

DOB  Mobile No.  Email ID

Gender  Male  Female  Transgender

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

Name of the 3<sup>rd</sup> Applicant Mr./Ms./M/s.

DOB  Mobile No.  Email ID

Gender  Male  Female  Transgender

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

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

**Tax Status (Applicable for First/Sole Applicant)**

Resident Individual  FII  NRI-NRO  HUF  Society  Company  Body Corporate  Club/Society  PIO  
 Minor  Government Body  Trust  NRI-NRE  Bank & FI  Proprietorship Firm  Partnership Firm  QFI  
 Provident Fund  NRI minor with gaurdian  Others \_\_\_\_\_

<b>1<sup>st</sup> Applicant</b>	<input type="checkbox"/> Business <input type="checkbox"/> Service <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Defence <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Unlisted Company <input type="checkbox"/> Body Corporate <input type="checkbox"/> Listed Company <input type="checkbox"/> Other _____
<b>2<sup>nd</sup> Applicant</b>	<input type="checkbox"/> Business <input type="checkbox"/> Service <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Defence <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Unlisted Company <input type="checkbox"/> Body Corporate <input type="checkbox"/> Listed Company <input type="checkbox"/> Other _____
<b>3<sup>rd</sup> Applicant</b>	<input type="checkbox"/> Business <input type="checkbox"/> Service <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Defence <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Unlisted Company <input type="checkbox"/> Body Corporate <input type="checkbox"/> Listed Company <input type="checkbox"/> Other _____
<b>Guardian / POA</b>	<input type="checkbox"/> Business <input type="checkbox"/> Service <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Defence <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Unlisted Company <input type="checkbox"/> Body Corporate <input type="checkbox"/> Listed Company <input type="checkbox"/> Other _____

**Gross Annual Income Range (in ₹)**

<b>1<sup>st</sup> Applicant</b>	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 lacs <input type="checkbox"/> 5-10 lacs <input type="checkbox"/> 10-25 lac <input type="checkbox"/> >25lacs - 1 crore <input type="checkbox"/> > 1 crore OR Net worth (Mandatory for Non-Individuals) ₹ _____ as on <input type="text"/> (not older than 1 year)
<b>2<sup>nd</sup> Applicant</b>	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 lacs <input type="checkbox"/> 5-10 lacs <input type="checkbox"/> 10-25 lac <input type="checkbox"/> >25lacs - 1 crore <input type="checkbox"/> > 1 crore OR Net worth (Mandatory for Non-Individuals) ₹ _____ as on <input type="text"/> (not older than 1 year)
<b>3<sup>rd</sup> Applicant</b>	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 lacs <input type="checkbox"/> 5-10 lacs <input type="checkbox"/> 10-25 lac <input type="checkbox"/> >25lacs - 1 crore <input type="checkbox"/> > 1 crore OR Net worth (Mandatory for Non-Individuals) ₹ _____ as on <input type="text"/> (not older than 1 year)
<b>Guardian / POA</b>	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 lacs <input type="checkbox"/> 5-10 lacs <input type="checkbox"/> 10-25 lac <input type="checkbox"/> >25lacs - 1 crore <input type="checkbox"/> > 1 crore OR Net worth (Mandatory for Non-Individuals) ₹ _____ as on <input type="text"/> (not older than 1 year)

For Individuals Investors (Please ✓)	1 <sup>st</sup> Applicant	2 <sup>nd</sup> Applicant	3 <sup>rd</sup> Applicant	Guardian/POA
I am Politically Exposed Person	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I am Related to Politically Exposed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not Applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### For Non-Individual Investors (Please ✓)

Is the company a Listed Company or Subsidiary of Listed Company or Controlled by a Listed Company:  Yes  No (if No, Mandatory to provide the UBO declaration)

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

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

POA Name Mr./Ms.

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

#### 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

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

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

Scheme

Plan  Direct  Regular

Option

#### 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 Account No.

Bank/Branch & City

Account Type  SB  Current  NRO  NRE  FCNR

Applicable to minor (incase payment done other than the minor account)

Payment/ bank account holder name \_\_\_\_\_ relationship with minor  Father  Mother  Legal Guardian

Note: (1) Relationship proof with minor required (2) If payment done by Legal Guardian, please submit duly notarized copy of court order along with application.

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

Place & Country of Birth	Sole/First Applicant/Guardian			2nd Applicant			<input type="checkbox"/> 3rd Applicant / <input type="checkbox"/> POA		
	Country#	Tax Payer Ref ID No	Identification Type (TIN or other, please specify)	Country#	Tax Payer Ref ID No	Identification Type (TIN or other, please specify)	Country#	Tax Payer Ref ID No	Identification Type (TIN or other, please specify)

\*Please indicate all countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number & Its Identification type e.g: TIN etc



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

	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			
Relationship with Investor			
Address			
Guardian Name (in case Nominee is a Minor)			
Guardian's relationship with minor	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian
Type of Guardian	<input type="checkbox"/> Natural Guardian <input type="checkbox"/> Court Appointed guardian	<input type="checkbox"/> Natural Guardian <input type="checkbox"/> Court Appointed guardian	<input type="checkbox"/> Natural Guardian <input type="checkbox"/> Court Appointed guardian
Allocation % (Total to be 100%)			

OR

I do not wish to Nominate

I / We hereby confirm that I / We do not wish to appoint any nominee(s) for my mutual fund units held in my / our mutual fund folio and understand the issues involved in nonappointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents issued by Court or other such competent authority, based on the value of assets held in the mutual fund folio.

**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   N  BENEFICIARY Account No. (NSDL Only)

CDSL

Enclose:  Client Master List  Transaction/Holding Statement  DIS Copy

**13. 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 \_\_\_\_\_

**14. PHYSICAL COPY OF ANNUAL REPORT**

Opt In to receive the physical copy of Annual Report

**15. NPO DECLARATION** (Mandatory for Trust and Society)

Yes, We are falling under "Non-Profit Organization" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

If yes, please quote Registration No. of Darpan portal of Niti Aayog

Or

No

If not, please register immediately and confirm with the above information. We are aware that we may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable.

Signature(s)

Date

Place \_\_\_\_\_

Sole/1 <sup>st</sup> Applicant/Guardian/Authorised Signatory	2 <sup>nd</sup> Applicant / Authorised Signatory	3 <sup>rd</sup> Applicant / Authorised Signatory
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# SYSTEMATIC TRANSFER PLAN (STP) & SYSTEMATIC WITHDRAWAL PLAN (SWP)

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

Distributor ARN	Sub Distributor ARN	Internal sub Code/Sol ID	Employee Code	EJIN	Serial No./Date, Time & Stamp

"I/We, have invested in the scheme(s) of Quantum Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all schemes of Quantum Mutual Fund, to the above mentioned SEBI Registered Investment Adviser."

**EJIN Declaration** I/We hereby confirm that the EJIN 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.

## 1. INVESTOR AND INVESTMENT DETAILS Please ✓ wherever applicable.

Sole/First Investor Name   
(as appearing in ID proof)

PAN No.  Folio No. (For Existing Investor)

Scheme Name: Quantum Small Cap Fund Plan:  Regular  Direct Option: Growth

## 2. SYSTEMATIC TRANSFER PLAN (STP)

Target Scheme: \_\_\_\_\_ Plan: \_\_\_\_\_ Option: \_\_\_\_\_

## 3. SYSTEMATIC TRANSFER PLAN (STP)

Frequency Details (Please ✓)	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly	<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
Each STP Amount (₹): _____	All Business Days	<input type="radio"/> 7th, <input type="radio"/> 15th, <input type="radio"/> 21st, <input type="radio"/> 28th of a week	<input type="radio"/> 5th, 21st OR <input type="radio"/> 7th & 25th	<input type="radio"/> 5th OR <input type="radio"/> 21st	<input type="radio"/> 7th OR <input type="radio"/> 25th OR <input type="radio"/> 28th

Enrolment Start  End  or No. of installments \_\_\_\_\_

## 4. SYSTEMATIC WITHDRAWAL PLAN (SWP)

Frequency Details (Please ✓)	<input type="checkbox"/> Weekly	<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
Each SWP Amount (₹): _____	<input type="radio"/> 7th, <input type="radio"/> 15th, <input type="radio"/> 21st, <input type="radio"/> 28th of a week	<input type="radio"/> 5th, 21st OR <input type="radio"/> 7th & 25th	<input type="radio"/> 5th OR <input type="radio"/> 21st	<input type="radio"/> 7th OR <input type="radio"/> 25th OR <input type="radio"/> 28th

Enrolment Start  End  or No. of installments \_\_\_\_\_

## 5. DECLARATION

I/We have read and understood the contents of the Scheme Information Document(s)/Key Information Memorandum(s) & Statement of Additional Information(s) of the Scheme(s) and agree to abide by the terms, conditions, rules and regulations of the Scheme(s) as on the date of this transaction. I/We hereby declare that I am/we are not US Person(s).

First Account Holders Signature (As per bank records)	Second Account Holders Signature (As per bank records)	Third Account Holders Signature (As per bank records)
--	---	--



# APPLICATION FORM FOR REGISTRATION OF SYSTEMATIC INVESTMENT PLAN (SIP)

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

Distributor ARN	Sub Distributor ARN	Internal sub Code/Sol ID	Employee Code	EUIN	Serial No./Date, Time & Stamp

"I/We, have invested in the scheme(s) of Quantum Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all schemes of Quantum Mutual Fund, to the above mentioned SEBI Registered Investment Adviser."

**EUIN Declaration** 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.

## 1. INVESTOR AND INVESTMENT DETAILS Please ✓ wherever applicable.

Sole/First Investor Name   
(as appearing in ID proof)

PAN No.  Folio No. (For Existing Investor)

Scheme Name: Quantum Small Cap Fund Plan:  Regular  Direct Option: Growth

## 2. SYSTEMATIC INVESTMENT PLAN (SIP)

Frequency Details (Please ✓)	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly	<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
Each SIP Amount (₹): _____	All Business Days	<input type="radio"/> 7th, <input type="radio"/> 15th, <input type="radio"/> 21st, <input type="radio"/> 28th of a week	<input type="radio"/> 5th, 21st OR <input type="radio"/> 7th & 25th	<input type="radio"/> 5th OR <input type="radio"/> 21st	<input type="radio"/> 7th OR <input type="radio"/> 25th

From  To  or No. of installments \_\_\_\_\_

## 3. DECLARATION

I/We hereby, declare that the particulars given above are correct and express my willingness to make payments referred above through participation in National Automated Clearing House (NACH)/Auto Debit. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information I/We would not hold Quantum Mutual Fund/Quantum Asset Management Company Pvt. Ltd responsible. I/We will also inform Quantum Mutual Fund about any changes in my bank account. I/We have read and agreed to the terms and conditions mentioned overleaf. This is to inform that I/We have registered for Auto Debit Facility and that my payment towards my investment in Quantum Mutual Fund shall be made from my/our bank account registered with Quantum Mutual Fund. I/We authorize Quantum Mutual Fund/Quantum Asset Management Company Pvt Ltd/representative of Quantum Asset Management Company Pvt Ltd carrying this Form to debit my bank account as per instructions given above.

First Account Holders Signature	Second Account Holders Signature	Third Account Holders Signature
---------------------------------	----------------------------------	---------------------------------

Tick  UMRN

Create:  Sponsor Bank Code  (Office use only) Utility Code  (Office use only)

Modify:  I/We hereby authorize QUANTUM MUTUAL FUND to debit (Tick ✓)  SB/ CA/ CC/ SB-NRE / SB-NRO/ Other

Cancel:  From Bank A/C Number:

With  (Name of Destination Bank with Branch) IFSC Code:  MICR Code:

an amount of Rupees  (in words) ₹

FREQUENCY:  Mthly  Qtrly  H-yrly  Yrly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

Folio No.  Phone No.

Schemes  **ALL SCHEMES OF QUANTUM MUTUAL FUND** Email ID

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

PERIOD From  To

1  Signature of 1st Account Holder 2  Signature of 2nd Account Holder 3  Signature of 3rd Account Holder

Name as in bank records Name as in bank records Name as in bank records

This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/corporate to debit my account, based on the instruction as agreed and signed by me. I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the user entity / corporate or the bank where I have authorized the debit.





# SYSTEMATIC TRANSACTION FORM

## TERMS & CONDITIONS

### Systematic Investment Plan (SIP)

This mandate registration form will be submitted through National Automated Clearing House (NACH).

1. This SIP facility is offered to investors having bank accounts in select banks mentioned in the link <http://www.npci.org.in/>. The banks in the list may be modified/updated/changed/removed at any time in future entirely at the discretion of National Payments Corporation of India without assigning any reasons or prior notice. Standing instructions for investors in such Banks will be discontinued. We will inform you on such discontinuation.
2. Investor/Unitholder(s) should submit original Cancelled Cheque (or a copy) along with mandate form with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted.
3. The Unitholder(s) cheque/bank account details are subject to third party verification.
4. SIP is offered on daily, weekly, fortnight, monthly and quarterly frequency.
5. Investor/ Unit holders can opt to invest on any day in daily frequency, 7, 15, 21, 28 dates in weekly frequency, 5 & 21 OR 7 & 25 fortnight frequency and 5, 7, 15, 21, 25, 28 in monthly or quarterly frequency of each month/first month of the quarter.
6. In case the frequency is not specified in the application/enrolment form, it will be deemed as an application for monthly frequency and will be processed accordingly. In case the SIP date is not specified or in case of ambiguity, the SIP transaction will be processed as of 15th of every month/first month of every quarter.
7. In case the end date is not specified, the SIP will be registered for **30 years**.
8. Minimum installments for daily will be 132 days and weekly 25, fortnight 13, monthly 6 and quarterly is 4 instalments.
9. The units will be allotted to the investor at applicable NAV of the respective business day on which the investment is sought to be made as per the applicable cut-off timing subject to the funds available for utilization.
10. The request for enrollment of SIP in the prescribed form should be received at any official point of acceptance / Investor service center at least 21 Calendar Days in advance before the execution / commencement date.
11. The request for discontinuation of SIP in the prescribed form should be received at any official point of acceptance / Investor Service Center at least 15 Business Days in advance before the execution / commencement date.
12. In case of investments under SIP, if 2 or more consecutive payment instructions provided by the investor/unitholder are dishonored for either insufficiency of funds or as a result of a stop payment instruction issued by the investor/unitholder or any other reason as intimated by the bank, the AMC reserves the right to discontinue the SIP facility provided to the investor/unitholder.
13. Quantum Mutual Fund will not be liable for any transaction failures due to rejection by the investors.
14. bank/branch. The investor agrees to abide by the terms and conditions of NACH facility of NPCI.
15. Investor will not hold Quantum Mutual Fund and its service providers responsible if the transaction is delayed or not effected by the Investor's Bank or if debited in advance or after the specific date due to various reasons or for any bank charges debited by his banker in his account towards NACH Registration/Cancellation/Rejections.
16. Quantum Mutual Fund reserves the right to reverse allotments in case the Auto debit is rejected by the bank for any reason whatsoever.
17. The facility will be automatically terminated upon receipt of intimation of death of the Unit holder.
18. Investors are required to ensure adequate funds in their bank account on opted date. Quantum Mutual Fund will endeavor to debit the investor bank account on opted date, however if there is any delay all such transactions are debited subsequently.
19. Quantum Mutual Fund/Sponsor Bank/NPCI are not liable for the bank charges, if any debited from investor's bank account by the destination bank, on account of payment through NACH.
20. If any chosen day falls on a non-business day, the next business day will be considered as the transaction date.
21. In case of investments in the name of a minor, no new transactions / standing instructions / SIP / STP / SWP or cancellation of such requests will be allowed by the guardian from the date of minor attaining majority till instruction from the major is received by the AMC/Mutual Fund along with the prescribed

documents for change of account status from minor to major.

#### **Additional for MICRO Systematic Investment Plans (MICRO SIPs)**

As per SEBI guidelines, Lumpsum and SIP investments in mutual funds upto Rs. 50,000 per year, per investor, per mutual fund shall be exempted from the requirement of PAN subject to other operational guidelines. Any investment, lumpsum or through Systematic Investment Plans (SIPs) by investors, where aggregate of investments/instalments in a rolling 12-month period, does not exceed Rs. 50,000/- per investor will be treated as Micro investments for the above purpose. Micro investments will be accepted subject to PAN exemption in KYC process. This exemption will be applicable ONLY to investments by individuals (**not NRI & PIOs**), Minors and Sole proprietary firms. HUFs and other categories will not be eligible for Micro Investments. The exemption is applicable to joint holders also. In case under MICRO SIP, the first SIP Instalment is processed (as the cheque may be banked), and the application is found to be defective, the Micro SIP registration will cease for future instalments. No refund to be made for the units already allotted. However, redemptions will be allowed based on the submission of normal prescribed Redemption Transaction Slip. Investors may submit any one of the PHOTO IDENTIFICATION documents (please refer paragraph titled PAN under the General instructions) along with KYC form and proof of address (self-attested). No separate address proof is required if Photo ID with address mentioned on it is submitted. The photo identification documents have to be current and valid and also to be either self -attested. All the applicants including second and third applicant (if any) is mandated to submit any of the above documents.

**Systematic Investment Plan for Corporate Employees:** In this case, the concerned employer is required to forward to the AMC the Scheme application cum SIP registration mandate form of the corporate employee who desires to invest in the Scheme. The application amount for the corporate employees would also be forwarded by the employer on specific request from the concerned employee. The concerned employee has to authorize the employer to deduct the application amount from his salary and remit the same to the Fund at regular intervals to ensure receipt of funds by the AMC on or before the next due date.

#### **Systematic Transfer Plan (STP)**

This facility allows Unitholders to transfer specified fixed sums on periodic basis from one scheme to other schemes launched by the Mutual Fund from time to time by giving a single instruction. A Unitholder may effect a Systematic Transfer Plan (STP) by redeeming units of the transfer-out (transferor) Scheme at the prevailing NAV, subject to Exit Load, if any and investing the same amount in the transfer-in (transferee) scheme at prevailing NAV of the transfer-in Scheme. To seamlessly facilitate STP between two Schemes of the Mutual Fund, the Unitholder must comply with the redemption requirements of the transferor scheme and subscription requirements of the transferee scheme.

#### **STP facility is offered subject to following terms & conditions:**

1. STP facility is offered with daily - all business days, weekly – 7, 15, 21, 28, fortnightly - 5 & 21 or 7 & 25 monthly and quarterly - 5, 7, 15, 21, 25, 28 of the month under monthly/1st month of each quarter under quarterly frequency.
2. In case the frequency is not specified, it will be considered as application for monthly frequency and will be processed accordingly. In case the STP date is not specified or in case of ambiguity, the STP transaction will be processed for fortnightly 5&21 and on 15th of month/quarter. In case the end date is not specified, the Fund would continue the STP till it receives termination notice from the Unitholder.
3. Minimum balance in the source (transferor) Scheme should be Rs.5,000/- at the time of enrolment for STP.
4. Minimum amount for each transfer: Rs.100/- for daily, Rs 500 for weekly, fortnight, monthly and quarterly frequency. Any STP over and above the minimum amounts mentioned above shall be in multiples of Re.1 thereafter.
5. Minimum term/duration: For daily 132, Weekly 25, fortnight 13, Monthly 6 and quarterly 4 Minimum Instalments.
6. In case the Unitholder purchases additional units in the transferor scheme, the STP facility would be extended to such additional units also.
7. Units marked under lien or pledge in the source Scheme will not be eligible for STP.
8. The Unitholder who has opted for STP under a specific scheme can also redeem or switch his units to any other eligible scheme provided he has sufficient balance in his account on the date of such a request.
9. In case the unit balance in the transferor scheme is lesser than amount specified by the Unitholders for STP, the AMC will transfer remaining unit balance to transferee scheme.
10. The facility will be automatically terminated if the units under the transferor scheme are pledged or upon receipt of intimation of death of the Unitholder.
11. The application for start of STP should be submitted to Official Point(s) of Acceptance at least 10 business days before the date of commencement/start date of STP. Unitholder may change the amount/frequency by giving written notice to any of the Official Point(s) of Acceptance at least 10 business days prior to next transfer/STP execution date.
12. Unitholder can discontinue STP facility at any time by sending a written notice to any of the Official Point(s) of Acceptance, at least 10 business days prior to next transfer/STP execution date.
13. If STP date is a Non-Business Day, then the next Business Day shall be the STP date and the same will be considered for the purpose of determining the applicability of NAV.
14. STP will be terminated automatically in case of a Zero balance in the respective Scheme-Folio on the run-date or expiry of the enrolment period whichever is earlier.



## Systematic Withdrawal Plan (SWP)

This facility allows Unitholders to withdraw a fixed amount (subject to deduction of tax at source, if applicable) on monthly basis by redemption of units in the Unitholders' account. Withdrawal will be both from the unit capital and appreciation (if any) on the invested capital. The Scheme offers SWP facility subject to following terms & conditions:

1. Unitholder can withdraw the amount on weekly- 7, 15, 21, 28, fortnight - 5 & 21 OR 7 & 25 and monthly/ quarterly - 5, 7, 15, 21, 25, 28. In case of selection date is a non-Business Day, the transaction would be effected on the next Business Day.
2. Minimum balance in the Scheme should be Rs.5,000/- at the time of enrolment for SWP.
3. Minimum amount for each withdrawal should be Rs.500/-and in multiples of Re.1/- for all frequencies.
4. Minimum installments weekly 25, fortnight 13, monthly 6 and quarterly 4.
5. In case the Unitholder purchases additional Units in the Scheme under the same folio, the SWP facility would be extended to such units also.
6. The facility will be automatically terminated if the units in the Scheme are pledged or upon receipt of intimation of death of the Unitholder.
7. The redemption under SWP will be subject to applicable Exit load if any.
8. The application for start of SWP should be submitted to Official Point(s) of Acceptance at least 10 business days before the date of commencement/start date of SWP.
9. Unitholder may change the amount/frequency by giving written notice to any of the Official Point(s) of Acceptance at least 10 business days prior to next SWP execution date.
10. Unitholder can discontinue SWP facility by sending a written notice to any of the Official Point(s) of Acceptance, at least 10 business days prior to next SWP execution date.
11. SWP will be terminated automatically in case of a Zero balance in the respective Scheme-Folio on the run-date or expiry of the enrolment period whichever is earlier.
12. In case the unit balance in the scheme is lesser than amount specified by the Unitholders for SWP, the AMC will redeem remaining unit balance in the scheme.

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

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

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



# ASBA FORM

## APPLICATION SUPPORTED BY BLOCKED AMOUNT

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

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

Declaration for "execution-only" transaction (only where EUIN box is left blank): I/We hereby confirm that the EUIN 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 inappropriateness, 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  Mr.  Ms.  M/s.  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  Mr.  Ms. \_\_\_\_\_ Date of Birth 

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

Name of 3rd Applicant  Mr.  Ms. \_\_\_\_\_ 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)

1st Applicant	2nd Applicant	3rd Applicant

### 2. ISIN DETAILS

Quantum Small Cap Fund Regular Plan - Growth - ISIN \_\_\_\_\_

Quantum Small Cap Fund Regular Plan - Growth - ISIN \_\_\_\_\_

### 3. DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS (Bank Account should be in the name of First Applicant only)

Bank Account No: \_\_\_\_\_

Bank Name \_\_\_\_\_

Branch Name \_\_\_\_\_

Account Type (Please ✓)	For Residents	For Non-Residents
	<input type="checkbox"/> Savings <input type="checkbox"/> Current	<input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> Repatriable <input type="checkbox"/> Others

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

### 4. DEMAT ACCOUNT DETAILS

	NSDL	CDSL
DP Name		
DP ID*	IN _____	
Beneficiary Account No.	IN _____	IN _____

\*In case Unit holders do not provide their Demat Account details application will to be rejected.

**UNDERTAKING BY ASBA INVESTOR/ ACCOUNT HOLDER**

1) 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 designed 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. I/ We hereby undertake that, I/ we have read and understood the instructions contained in this Form and Terms and Conditions concerning ASBA as contained in the Scheme Information Document (SID) / Key Information Memorandum (KIM) of the above mentioned Scheme and Statement of Additional Information (SAI) of Quantum Mutual Fund. Further, I/we understand that if the details as provided by me/us in this Form are different from those in the NFO Application Form, then in such a case; the application is liable to be rejected.

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



 <b>Quantum</b> MUTUAL FUND FOR THOUGHTFUL INVESTORS	6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021. <a href="http://www.QuantumMF.com">www.QuantumMF.com</a>	<b>TO BE RETAINED BY THE BANKER</b> <a href="http://www.QuantumMF.com">www.QuantumMF.com</a> (To be filled by the Sole/ First Applicant)	Date: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
---	--	--	---

**ACKNOWLEDGEMENT SLIP FOR SCSB**

Received from Mr./Ms. <input type="text"/>	<b>SCSB Account Details</b>
Address <input type="text"/>	Bank Name <input type="text"/>
<input type="text"/>	Bank Account Number <input type="text"/>
Tel/Fax <input type="text"/> Mobile <input type="text"/>	Branch Address <input type="text"/>
E-mail <input type="text"/>	Total Amount to be blocked (₹) <input type="text"/>

SIGNATURE(S)			
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 <b>Quantum</b> MUTUAL FUND FOR THOUGHTFUL INVESTORS	6th Floor, Hoechst House, Nariman Point, Mumbai - 400 021. <a href="http://www.QuantumMF.com">www.QuantumMF.com</a>	<b>TO BE GIVEN BY THE SCSB</b> <a href="http://www.QuantumMF.com">www.QuantumMF.com</a> (To be filled by the Sole/ First Applicant)	Date: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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**ACKNOWLEDGEMENT SLIP FOR INVESTOR**

**INVESTMENT DETAILS**

Scheme Name:	<b>Quantum Small Cap Fund</b>	Plan:	<input type="checkbox"/> Regular <input type="checkbox"/> Direct
Option:	Growth		
Amount in figures:		Amount in words:	
Name (Mr./Ms.)			
Address			
	Pin Code <input type="text"/>	Telephone <input type="text"/>	
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 alongwith 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.

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

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

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

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

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

 **Missed Call Facility** : 022 6829 3807



# FATCA CRS FORM

(for non Individual/legal entity)

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

Applicant/Investor details:											
Name of the Entity											
Type of address given at KRA	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business <input type="checkbox"/> Registered Office								
PAN		Date of Incorporation	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				
City of incorporation		Country of incorporation									

**1. Is "Entity" a tax resident of any country other than India** Please ✓ the applicable tax resident declaration

Yes  No (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

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

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

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

**In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here**

--

Please refer to para 3(vii) Exemption code for U.S. persons under Part D of FATCA instructions & Definitions

**FATCA & CRS DECLARATION** (Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

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

Sr No.	Information	Additional Information to be provided
1.	We are a financial institution [including an FFI] [Refer instructions a]	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, please provide the following information:</i> GIIN: _____ (Global Intermediary Identification Number)  If GIIN not available [tick any one]: <input type="checkbox"/> Applied for on <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 <i>If Yes, specify the name of any one Stock Exchange where it is traded regularly:</i> 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 <i>If Yes, specify the name of the listed company</i> _____ 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 for FATCA purpose not be considered	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If Yes, specify the nature of business</i> 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 FATCA purpose considered for	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If Yes, please provide:</i> 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.

**#IF PASSIVE NFFE, PLEASE PROVIDE BELOW ADDITIONAL DETAILS FOR EACH OF CONTROLLING PERSON.** (Please attach additional sheets if necessary)

**Name and PAN / Any other identification Number**  
 (PAN, Aadhar, Passport, Election ID, Govt ID, Driving Licence, NREGA Job Card, Others)  
 City of Birth - Country of Birth

**Occupation Type** - Service, Business, Others  
**Nationality**  
**Father's Name** - Mandatory if PAN is not applicable.

**DOB** - Date of Birth  
**Gender** - Male, Female, Other

1. Name	<input type="text"/>	Occupation Type	<input type="text"/>	DOB	<input type="text"/>
PAN	<input type="text"/>	Nationality	<input type="text"/>	Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
City of Birth	<input type="text"/>	Father's Name	<input type="text"/>		
Country of Birth	<input type="text"/>				

1. Name	<input type="text"/>	Occupation Type	<input type="text"/>	DOB	<input type="text"/>
PAN	<input type="text"/>	Nationality	<input type="text"/>	Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
City of Birth	<input type="text"/>	Father's Name	<input type="text"/>		
Country of Birth	<input type="text"/>				

1. Name	<input type="text"/>	Occupation Type	<input type="text"/>	DOB	<input type="text"/>
PAN	<input type="text"/>	Nationality	<input type="text"/>	Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
City of Birth	<input type="text"/>	Father's Name	<input type="text"/>		
Country of Birth	<input type="text"/>				

\*Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

\*To include US, where controlling person is a US citizen or green card holder

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

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

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

**Signature with relevant seal:**

Authorised Signatory	Authorised Signatory	Authorised Signatory
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Date:

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

## Instructions

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

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



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

(Mandatory for Non-individual Investors)

## I: Investor details:

Investor Name	
PAN*	

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

## II: Category

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

Name of the Stock Exchange where it is listed#: \_\_\_\_\_

Security ISIN# \_\_\_\_\_

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

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

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

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

Others [please specify] \_\_\_\_\_

## UBO / Controlling Person(s) details.

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

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

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

	UBO-1 / Senior Managing Official (SMO)	UBO-2	UBO-3
Name of the UBO/ SMO#.			
UBO / SMO PAN#. For Foreign National, TIN to be provided]			
% of beneficial interest#.	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA. (for SMO) <input type="checkbox"/>	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA. (for SMO) <input type="checkbox"/>	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA. (for SMO) <input type="checkbox"/>
UBO / SMO Country of Tax Residency#.			

UBO / SMO Taxpayer Identification Number / Equivalent ID Number#.			
UBO / SMO Identity Type			
UBO / SMO Place & Country of Birth#	Place of Birth ..... Country of Birth .....	Place of Birth ..... Country of Birth .....	Place of Birth ..... Country of Birth .....
UBO / SMO Nationality			
UBO / SMO Date of Birth [dd-mmm-yyyy] #			
UBO / SMO PEP#	Yes – PEP. <input type="checkbox"/> Yes – Related to PEP. <input type="checkbox"/> N – Not a PEP. <input type="checkbox"/>	Yes – PEP. <input type="checkbox"/> Yes – Related to PEP. <input type="checkbox"/> N – Not a PEP. <input type="checkbox"/>	Yes – PEP. <input type="checkbox"/> Yes – Related to PEP. <input type="checkbox"/> N – Not a PEP. <input type="checkbox"/>
UBO / SMO Address [include City, Pincode, State, Country]	Address: City: Pincode: State: Country:	Address: City: Pincode: State: Country:	Address: City: Pincode: State: Country:
UBO / SMO Address Type	Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/>	Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/>	Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/>
UBO / SMO Email			
UBO / SMO Mobile			
UBO / SMO Gender	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
UBO / SMO Father's Name			
UBO / SMO Occupation	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>
SMO Designation#			

UBO / SMO KYC Complied?	<input type="checkbox"/> Yes / <input type="checkbox"/> No. If 'Yes,' please attach the KYC acknowledgement. If 'No,' complete the KYC and confirm the status	<input type="checkbox"/> Yes / <input type="checkbox"/> No. If 'Yes,' please attach the KYC acknowledgement. If No, complete the KYC and confirm the status.	<input type="checkbox"/> Yes / <input type="checkbox"/> No. If 'Yes,' please attach the KYC acknowledgement. If No, complete the KYC and confirm the status.
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# Mandatory column.  
 Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.  
 \* Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and you may provide the same as and when solicited.

### Declaration

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

### Signature with relevant seal:

Authorized Signatory

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Authorized Signatory

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Authorized Signatory

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

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

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

## Instructions on Controlling Persons / Ultimate Beneficial Owner

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

### A. For Investors other than individuals or trusts:

(i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:

- more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
- more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership.
- more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

(ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.

(iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

### B. For Investors which is a trust:

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

### C. Exemption in case of listed companies / foreign investors

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

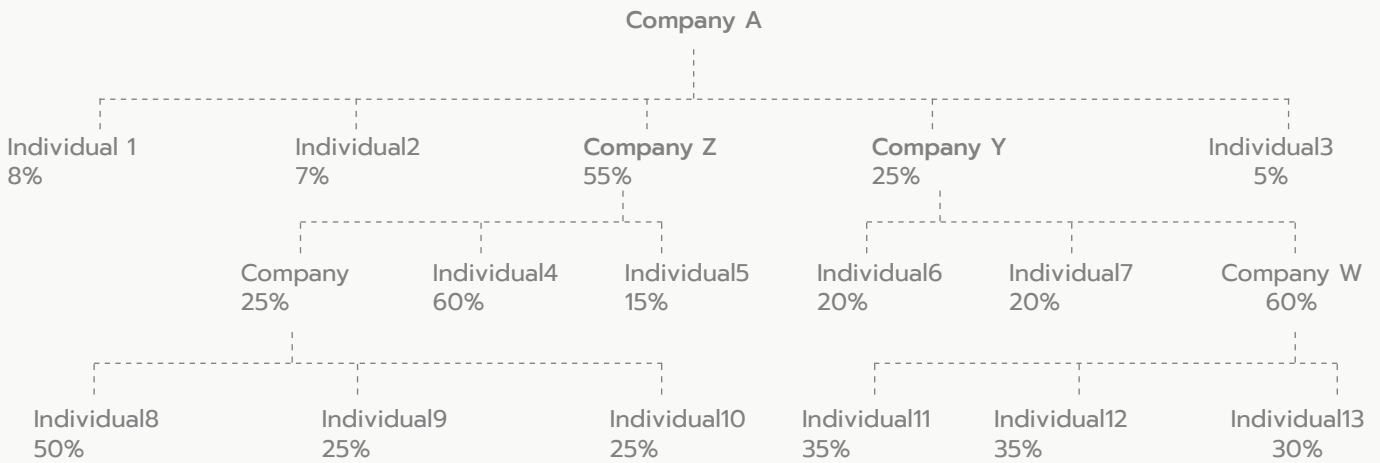
### D. KYC requirements

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



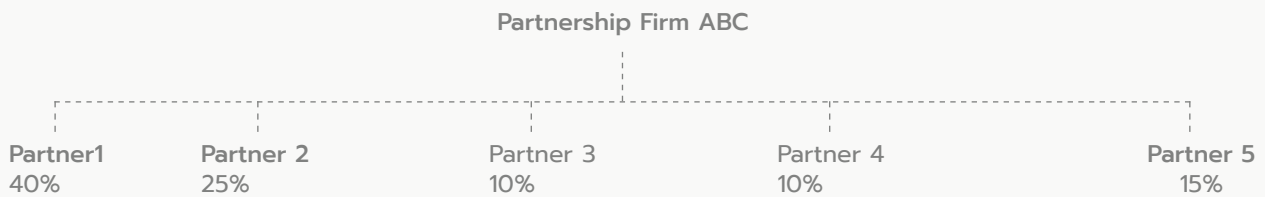
**Sample Illustrations for ascertaining beneficial ownership:**

**Illustration No. 1 – Company A**



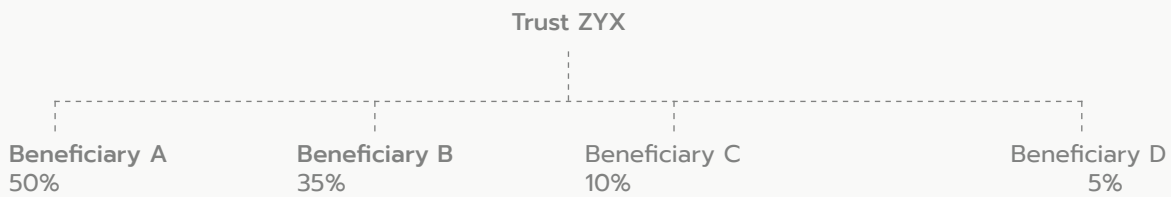
For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and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

**Illustration No. 2 – Partner ABC**



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

**Illustration No. 3 – Trustee ZYX**



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

Quantum Asset Management Company Pvt. Ltd.

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

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

### K-Fin Technologies Collection Centers

Agartala KFin Technologies Ltd. OLS RMS CHOWMUHANI, MANTRI BARI ROAD 1ST FLOOR NEAR Jana Sevak Saloon Building TRAFFIC POINT Agartala, Tripura West, Pin-799001 Agra KFin Technologies Ltd. House No. 17/2/4, 2nd Floor Deepak Wasan Plaza, Behind Hotel Holiday INN, Sanjay Place, Agra -282002 (U.P) Ahmedabad KFin Technologies Ltd. Office No. 401, 4th Floor ABC-I, Off. C.G. Road Ahmedabad-380 009 Ajmer KFin Technologies Ltd. 302, 3rd Floor, Ajmer Auto Building Opposite City Power House, Jaipur Road Ajmer - 305 001 Akola KFin Technologies Ltd. Shop No 25, Ground Floor Yamuna tarang complex, Murtizapur Road N.H. No- 6, opp Radhakrishna, Akola 444001, Maharashtra Aligarh KFin Technologies Ltd. 1st Floor Sevti Complex Near Jain Temple, Samad Road Aligarh - 202001, Uttar Pradesh Allahabad KFin Technologies Ltd. Meena Bazar, 2nd Floor, 10 S.P. Marg Civil Lines, Subhash Chauraha, Prayagraj Allahabad - 211001 Alwar KFin Technologies Ltd. 137, Jai Complex Road No - 2 Alwar-301001 Amaravathi KFin Technologies Ltd. Shop No. 21, 2nd Floor Gulshan Tower, Near Panchsheel Talkies, Jaistambh Square, Amaravathi - 444601 Ambala KFin Technologies Ltd. 6349, 2nd Floor, Nicholson Road, Adjacent Kos Hospital, Ambala Cant, Ambala - 133001 Amritsar KFin Technologies Ltd. SCO 5 , 2nd Floor, District Shopping Complex, Ranjit Avenue, City- Amritsar, Punjab, Pin Code - 143001 Anand KFin Technologies Ltd. B-42 Vaibhav Commercial Center Nr Tvs Down Town Show Room, Grid Char Rasta, Anand - 388 001 Anantapur KFin Technologies Ltd. #13/4, Vishnupriya Complex, Beside SBI Bank, Near Tower Clock Anantapur - 515 001 Asansol KFin Technologies Ltd. 1st Floor, 112/N, G. T. ROAD BHANGA PACHIL, Paschim Bardhaman Asansol - 713303, West Bengal Aurangabad KFin Technologies Ltd. Shop no B 38, Motiwala Trade Center Nirala Bazar Aurangabad-431001 Azamgarh KFin Technologies Ltd. House No. 290, Ground Floor Civil lines, Near Sahara Office Azamgarh-276 001 Balasore KFin Technologies Ltd. 1-B. 1st Floor, Kalinga Hotel Lane Baleshwar, Baleshwar Sadar Balasore - 756001, Orissa Bangalore KFin Technologies Ltd. OLD NO : 35, NEW NO-59, 1st Floor KAMALA NIVAS, PUTTANNA ROAD, Basavanagudi, Bangalore - 560 004 Bankura KFin Technologies Ltd. Plot nos- 80/1/ANATUNCHATI MAHALLA 3rd floor, Ward No 24 Opp to PC Chandra, Bankura - 722101 Bareilly KFin Technologies Ltd. 1ST FLOOR REAR SIDE A -SQUARE BUILDING 54-CIVIL LINES, Ayub Khan Chauraha BAREILLY - 243 001 Baroda KFin Technologies Ltd. 1st Floor 125 Kanha Capital, Opp. Express Hotel, R C Dutt Road, Alkapuri, Vadodara - 390007. Begusarai KFin Technologies Ltd. C/o Dr Hazari Prasad Sahu Ward No 13, Behind Alka Cinema Begusarai - 851117, Bihar Belgaum KFin Technologies Ltd. Premises No 101, CTS NO 1893, Shree Guru Darshani Tower Anandwadi, Hindwadi, Belgaum 590011 Bellary KFin Technologies Ltd. GROUND FLOOR, 3RD OFFICE, NEAR WOMENS COLLEGE ROAD BESIDE AMRUTH DIAGNOSTIC SHANTHI ARCHADE Bellary 583103 Berhampur (Or) KFin Technologies Ltd. Opp -Divya Nandan Kalyan Mandap 3rd Lane Dharam Nagar, Near Lohiya Motor Berhampur-760001 Bhagalpur KFin Technologies Ltd. 2nd Floor, Chandralok Complex, Near Ghantaghar, Radha Rani Sinha Road, Bhagalpur - 812001 Bharuch KFin Technologies Ltd. 123 Nexus business Hub, Near Gangotri Hotel B/s Rajeshwari Petroleum, Makampur Road Bharuch - 392 001 Bhatinda KFin Technologies Ltd. 2nd Floor, MCB -Z-3-01043 GONIANA RODA, OPPORITE NIPPON INDIA MF GT ROAD, NEAR HANUMAN CHOWK, BHATINDA -151001, Punjab Bhavnagar KFin Technologies Ltd. 303, STERLING POINT, WAGHAWADI ROAD, BHAVNAGAR - 364001 Bhilai KFin Technologies Ltd. Office No.2, 1st Floor Plot No. 9/6, Nehru Nagar [East] Bhilai, Durg BHILAI - 490020, Chhattisgarh Bhilwara KFin Technologies Ltd. Office No. 14 B, Prem Bhawan, Pur Road, Gandhi Nagar, Near Canara Bank, Bhilwara - 311001 (Rajasthan) Bhopal KFin Technologies Ltd. SF-13 Gurukripa Plaza, Plot No. 48A Opposite City Hospital, zone-2, M P Nagar Bhopal-462011 Bhubaneswar KFin Technologies Ltd. A/181 Back Side Of Shivam Honda Show Room Saheed Nagar Bhubaneswar-751007 Bikaner KFin Technologies Ltd. H.No. 10, Himtasar House, Museum circle, Civil line, Bikaner, Rajasthan - 334001 Bilaspur KFin Technologies Ltd. ANANDAM PLAZA, Shop.No.306 3rd Floor, Vyapar Vihar Main Road Bilaspur-495001 Bokaro KFin Technologies Ltd. CITY CENTRE, PLOT NO. HE-07, SECTOR-IV BOKARO STEEL CITY Bokaro Steel City - 827 004 Burdwan KFin Technologies Ltd. Saluja Complex; 846, Laxmipur, G T Road, Burdwan; PS: BURDWAN & DIST: BURDWAN-EAST PIN: 713101. Calicut KFin Technologies Ltd. Second Floor, Manimuriyil Centre Bank Road, Kasaba Village Calicut - 673 001 Chandigarh KFin Technologies Ltd. First floor, SCO 2469-70 Sector 22-C Chandigarh - 160022 Chennai KFin Technologies Ltd. 9th Floor, Capital Towers 180, Kodambakkam High Road Nungambakkam, Chennai - 600034 Chinsura KFin Technologies Ltd. 96, DOCTORS LANE PO:CHINSURAH, DT: HOOGHLY Chinsura - 712101 Cochin KFin Technologies Ltd. Door No:61/2784 Second floor Sreelakshmi Tower, Chittoor Road, Ravipuram Coimbatore KFin Technologies Ltd. 3rd Floor, 1057 Jaya Enclave, Avanashi Road Coimbatore- 641018 Cuttack KFin Technologies Ltd. SHOP NO-45, 2ND FLOOR, NETAJI SUBAS BOSE ARCADE BIG BAZAR BUILDING, ADJACENT TO RELIANCE TRENDS DARGHA BAZAR, Cuttack - 753001 Darbhanga KFin Technologies Ltd. 2nd Floor Raj Complex Near Poor Home Darbhanga-846 004 Davangere KFin Technologies Ltd. D.No 162/6, 1st Floor, 3rd Main, P J Extension Davangere taluk, Davangere Mandal Davangere : 577002 Dehradun KFin Technologies Ltd. Shop No-809/799, Street No-2 A Rajendra Nagar Near Sheesha Lounge, Kaulagarh Road Dehradun - 248 001 Deoria KFin Technologies Ltd. K. K. Plaza, Above Apurwa Sweets Civil Lines Road Deoria- 274001 Dhanbad KFin Technologies Ltd. 208, New Market, 2nd Floor, Katras Road, Bank More, Dhanbad - 826001 Dhule KFin Technologies Ltd. Ground Floor Ideal Laundry, Lane No 4 Khol Galli, Near Muthoot Finance Opp Bhavasar General Store Dhule-424001 Durgapur KFin Technologies Ltd. MWAV-16 Bengal Ambuja 2nd Floor, City Centre, Dist: Burdwan Durgapur- 713216 Eluru KFin Technologies Ltd. DNO-23A-7-72/73K K S PLAZA MUNUKUTLA VARI STREET, OPP ANDHRA HOSPITALS, R R PET AELURU-534 002 Erode KFin Technologies Ltd. No 38/1 Ground Floor, Sathy Road, (VCTV Main Road), Sorna Krishna Complex Erode - 638 003 Faridabad KFin Technologies Ltd. A-2B, 3rd Floor, Nehru Ground, Neelam Bata Road, Nit, Peer Ki Mazar, Faridabad - 121 001 Ferozpur KFin Technologies Ltd. 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