



# Quantum Gold Fund

An Open Ended Scheme Replicating / Tracking Gold

(Continue Offer of units at NAV Based Prices)

Key Information Memorandum Cum Application Form

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

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

This KIM is dated April 28, 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 Gold Fund</p> <p>(An Open Ended Scheme Replicating / Tracking Gold)</p> <p>Tier I Benchmark: Domestic Price of Physical Gold.</p>	<ul style="list-style-type: none"> <li>Long term returns</li> <li>Investments in physical gold</li> </ul>	<p>Investors understand that their principal will be at High Risk</p>	

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

<b>Investment Objective</b>	The Investment Objective of the Scheme is to generate returns that are in line with the performance of gold and gold related instruments subject to tracking errors. However, investment in gold related instruments will be made if and when SEBI permits mutual funds to invest, in gold related instruments. The Scheme is designed to provide returns that before expenses, closely correspond to the returns provided by gold.																	
<b>Category Of Scheme</b>	Exchange Traded Fund																	
<b>Scheme Code</b>	QTMM/O/D/GET/07/12/0003																	
<b>Asset Allocation Pattern of the scheme</b>	<table border="1"> <thead> <tr> <th rowspan="2">Types of Instruments</th> <th colspan="2">Normal allocation (% of Net Assets)</th> <th>Risk Profile</th> </tr> <tr> <th>Minimum</th> <th>Maximum</th> <th>High/Medium/Low</th> </tr> </thead> <tbody> <tr> <td>Physical Gold</td> <td>95%</td> <td>100%*</td> <td>Medium to High</td> </tr> <tr> <td>Money Market instruments</td> <td>0%</td> <td>5%</td> <td>Low</td> </tr> </tbody> </table> <p>*As the scheme invests 95% to 100% of the net assets into Gold, the scheme will, by and large, be passively managed fund. However, if and when permitted under SEBI regulations, the scheme may invest in gold related securities including derivatives.</p> <p><b>Note:</b> Investment in warehouse receipts and other permitted instruments linked to Gold Prices and units of international gold linked ETFs would be made as and when, and to the extent permitted by regulatory authorities. It may be clearly understood that the percentages above are only indicative and not absolute.</p> <p>The Scheme would invest in money market instruments and Tri-Party Repo, in order to meet the liquidity requirements of the Scheme.</p>			Types of Instruments	Normal allocation (% of Net Assets)		Risk Profile	Minimum	Maximum	High/Medium/Low	Physical Gold	95%	100%*	Medium to High	Money Market instruments	0%	5%	Low
Types of Instruments	Normal allocation (% of Net Assets)		Risk Profile															
	Minimum	Maximum	High/Medium/Low															
Physical Gold	95%	100%*	Medium to High															
Money Market instruments	0%	5%	Low															
<b>Liquidity</b>	<p>The units of the Scheme can be bought / sold like any other stock on the National Stock Exchange of India Limited (NSE) on all the trading days of the stock exchange.</p> <p>The Market Maker and Eligible Investors can directly buy / sell units with the Fund in Creation Unit Size at Intra Day NAV based prices on all the Business Days.</p> <p>The AMC shall appoint at least two Market Makers (MMs), who are members of any Exchange recognized and regulated by SEBI or such other persons as permitted by SEBI to act as Market Makers, to provide continuous liquidity on the stock exchange where the units of ETF are listed. The list of Market Makers will be available on the website of the fund <a href="http://www.QuantumAMC.com">www.QuantumAMC.com</a>.</p>																	
<b>Investment Strategy</b>	<p>The AMC uses 'passive' approach to try and achieve the Scheme's investment objective. The Scheme does not try to "beat" the markets they track and do not seek temporary defensive positions when markets decline or appear overvalued. The AMC does not make any judgments about the investment merit of a particular gold investment nor will it attempt to apply any economic, financial or market analysis. Passive approach eliminates active management risks in regards to over / underperformance vis-à-vis the benchmark.</p> <p><b>Investment Process</b></p> <p>The Scheme will endeavor to track the domestic prices of gold by investing in physical Gold.</p> <p>Normally the Fund will receive physical Gold from the Market Makers / Eligible Investors against the exchange of QGF units in Creation Unit size as defined by the Fund.</p> <p>The AMC will analyse from time to time different ways of taking exposure in gold from the perspective of risk and returns and decide the same in the best interest of investors. The investment decisions of the scheme will be carried out by the Designated Fund Manager.</p>																	
<b>Risk Profile of the Scheme</b>	<p>Mutual Fund units involve investment risks including possible loss of principal. Please read the Scheme Information Document (SID) carefully for details on risk factors and other details before investment. Scheme specific Risk Factors are summarized below:</p> <p>The Scheme's NAV will react to the gold price movements. The investor may lose money over short or long period due to fluctuation in scheme's NAV in response to factors such as economic and political developments, changes in interest rates and perceived trends in bullion prices, market movement and over longer periods during market downturns.</p> <p>Any changes in trading regulations by the Stock Exchange(s) or SEBI may affect the ability of Market Maker to arbitrage resulting into wider premium/ discount to NAV. Any changes in the regulations relating to import and export of gold or gold jewellery (including customs duty, sales tax and any such other statutory levies) may affect the ability of the scheme to buy/sell gold against the purchase and redemption requests received.</p> <p>The units of the Scheme may trade above or below their NAV. The NAV of the Scheme will fluctuate with changes in the market value of Scheme's holdings. The trading prices of QGF units will fluctuate in accordance with changes in their NAV as well as market supply and demand for the units. However, given that QGF units can be created and redeemed in Creation Units Size directly with the Fund, it is expected that large discounts or premiums to the NAV of QGF units will not sustain due to arbitrage opportunity available.</p>																	
<b>Risk Management Strategies</b>	<p>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.</p> <p>The Fund has identified following Risks and designed Risk Management Strategies which is the part of the Investment Process to manage such risks.</p>																	

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

<b>Plans and Options</b>	<b>The Scheme offers one option - Growth Option.</b>
<b>Applicable NAV</b>	<ol style="list-style-type: none"> <li>In case of Purchase / Redemption directly with Mutual Fund (By Market Makers and Eligible Investors) – Intra Day NAV. The provisions for Cut-off timings for NAV applicability will not be applicable for direct transaction with the Fund..</li> <li>In case of Redemption directly with the Mutual Fund during Liquidity Window - The Cut-off time for receipt of valid application for Redemptions directly with the Fund during Liquidity Window is 3.00 p.m. Valid applications received by the fund upto the cut-off time will be processed on the basis of the closing NAV of the day of receipt of request and for valid applications received after cut-off time, the closing NAV of the next Business Day shall be applicable.</li> </ol> <p><b>Liquidity Window</b></p> <p>Investor can directly approach the AMC for redemption of units of the Scheme for the transaction of upto ₹25 Crores till April 30, 2023 or amount less than the amount prescribed by SEBI for Eligible Investor effective May 01, 2023 or such other date as may be prescribed by SEBI without any exit load if any in case of the following scenarios:</p> <ol style="list-style-type: none"> <li>Traded price (closing price) of the ETF units is at discount of more than 1% to the day end NAV for 7 continuous trading days or</li> <li>No quotes for the scheme are available on stock exchange(s) for 3 consecutive trading days or</li> <li>Total bid size on the exchange is less than half of Creation Units Size daily, averaged over a period of 7 consecutive trading days.</li> </ol>
<b>Minimum Application Amount/ Number of Units</b>	<p><b>Directly with Fund:</b> Market Makers / Eligible Investors can create / redeem in exchange of Portfolio Deposit and Cash Component in creation unit size at the Intra -Day NAV based Price.</p> <p><b>On the Exchange:</b> Approx equal to price of 0.01 gram of Gold quoted on the NSE. On NSE, the units can be purchased /sold in minimum lot of 1 unit and in multiples thereof.</p>
<b>Dispatch of Repurchase (Redemption) Request</b>	The Redemption / Repurchase proceeds shall be dispatched / credited to the registered bank account of the unitholders within 3 Working Days from the date of receipt of valid redemption / repurchase request.
<b>Tier I - Benchmark Index</b>	Domestic Price of Physical Gold.
<b>Income Distribution Policy</b>	<p>In terms of SEBI guidelines, the Trustees shall fix the quantum of income distribution and the record date (which is the date that will be considered for the purpose of determining the eligibility of investors). Income Distribution if distributed, will be paid (subject to deduction of tax at source, if any) to those Unitholders whose names appear in the Register of Unitholders on the notified record date. The AMC shall, within one calendar day of the decision by the Trustee, issue notice to the public, communicating the decision, including the record date. The record date shall be 2 working days from the date of publication in at least one English newspaper or in a newspaper published in the language of the region where the Head Office of the mutual fund is situated, whichever is issued earlier. In case of Units held in dematerialized mode, the Depositories (NSDL/ CDSL) will give the list of demat account holders and the number of Units held by them in electronic form on the Record date to the Registrars and Transfer Agent of the Mutual Fund who shall be eligible to receive the Income Distribution.</p> <p>The payment of dividend to the unitholders shall be made within seven working days from the record date.</p> <p>It must be distinctly understood that the actual income distribution and the frequency thereof will inter-alia, depend on the availability of distributable surplus as computed in accordance with SEBI Regulations. The decision of the Trustee in this regard shall be final. There is no assurance or guarantee to Unitholders as to the rate of income distribution nor will that income distribution be distributed regularly. On distribution of income, the NAV will stand reduced by the amount income distributed and statutory levy, if any, at the close of business hours on record date. The Trustee / AMC reserves the rights to change the record date from time to time.</p>
<b>Name of the Fund Manager &amp; Tenure of Managing the Scheme</b>	Ms. Ghazal Jain : Managing since June 02, 2020 (2.9 Years)
<b>Name of the Trustee Company</b>	Quantum Trustee Company Private Limited

**Performance of the Scheme  
(as on March 31, 2023)**

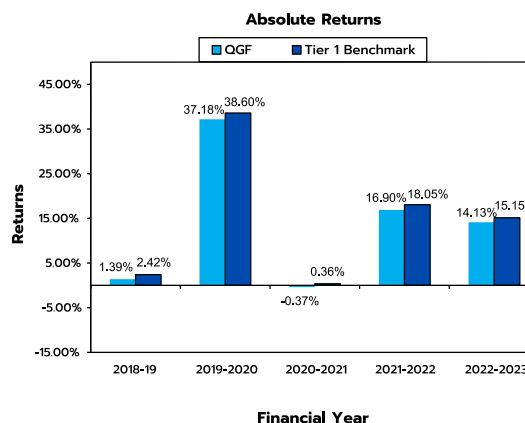
**Quantum Gold Fund - Growth Option**

Period	Scheme Returns %	Tier – I Benchmark Returns % (Domestic Price of Gold)
1 Year*	14.13%	15.15%
3 Years**	9.95%	10.91%
5 Years**	13.05%	14.10%
7 Years**	9.63%	10.68%
10 Years**	6.08%	7.12%
Since Inception**	10.13%	11.00%

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

\*Annualized \*\* CAGR Date of Inception: February 22, 2008.

**Absolute Returns for the last 5 Financial Years**



Date of Inception: February 22, 2008.

Past performance may or may not be sustained in future

**Scheme Portfolio Holdings  
as on March 31, 2023**

(i) Top 10 Holdings by Issuer:

Issuer	% to NAV
GOLD .995 Purity 1KG BAR at Mumbai Location	90.55%
GOLD .995 Purity 1KG BAR at Ahmedabad Location	5.35%
GOLD .999 Purity 100 Gram BAR at Ahmedabad Location	2.83%
Others	0.91%
GOLD .999 Purity 100 Gram BAR at Mumbai Location	0.36%
<b>Grand Total</b>	<b>100.00%</b>

(ii) Fund Allocation Toward Various Sectors:

Sector Allocation	% to NAV
Gold	99.09%
Others	0.91%
<b>Grand Total</b>	<b>100.00%</b>

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

(iii) To obtain scheme's latest monthly portfolio please click the followings link

<https://www.quantumamc.com/factsheets/Combined/-1/0/0>

**Portfolio Turnover Ratio as  
on March 31, 2023**

1.76%

**Expenses  
of the Scheme**

**(I) Load  
Structure**

**Entry Load:** Not Applicable

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

**Exit Load:** Nil

**(ii) Recurring expenses**

As per SEBI regulations the total expenses of the scheme including the investment advisory fees shall not exceed 1.00% of the daily net assets.

The AMC has estimated up to 1.00% of the daily net assets of the scheme will be charged to the scheme as permitted under Regulation 52 of SEBI (MF) regulations. For the actual current expenses being charged, the investor should refer to the website of the Mutual Fund viz. [www.QuantumAMC.com](http://www.QuantumAMC.com). Investor can refer <https://www.quantumamc.com/regulatory-document#headingSix> for total expense ratio details.

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

Actual Management Fees and Other Expenses incurred from 1st April 2022 to 31st March 2023.

Direct Plan - ₹1,15,57,966 (0.78%)

<b>Waiver of Load for Direct Applications</b>	<p>Not Applicable Pursuant to SEBI circular no. SEBI/IMD/CIR No.4/ 168230/09 dated June 30, 2009 no entry load shall be charged for all mutual fund schemes. Therefore, the procedure for waiver of load for direct applications is no longer applicable.</p>		
<b>Tax treatment for the Investors (Unitholders)</b>	<p>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.</p>		
<b>Daily Net Asset Value (NAV) Publication</b>	<p>NAV shall be calculated and disclosed on every Business Day. AMC shall update the NAV under separate head on the website of the Fund (<a href="http://www.QuantumAMC.com">www.QuantumAMC.com</a>) and on the website of Association of Mutual Funds in India <a href="http://www.amfiindia.com">www.amfiindia.com</a> by 11.00 p.m. every business day.</p> <p>Indicative NAV (iNAV) shall be disclosed on a continuous basis of the stock exchange(s), where the units of the scheme are listed and traded. The iNAV shall be updated based on the latest available data for Gold. Accordingly, iNAV disclosed may either be static or dynamic depending upon the availability of the underlying price of Domestic Gold.</p> <p>Investors may obtain latest NAV through SMS by a specific request to the AMC.</p>		
<b>For Investor Grievances please contact</b>	<table border="1"> <tr> <td data-bbox="507 645 815 1032"> <p>Registrars &amp; Transfer Agent: <b>KFin Technologies Limited</b> Unit: Quantum Mutual Fund, Selenium Tower B, Plot number 31 &amp; 32, Financial District, Nanakramguda Serilingampally Mandal, Hyderabad - 500032, Phone: +91 - 040-23312454</p> </td> <td data-bbox="815 645 1473 1032"> <p>Investor may contact the AMC for any Queries / Clarifications / Complaints to Mr. Chandrasen Manjrekar – Vice President Customer Relations at Email – <a href="mailto:CustomerCare@QuantumAMC.com">CustomerCare@QuantumAMC.com</a>, Telephone number – 1800 209 3863 / 1800 22 3863 (Toll Free).</p> <p>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 <a href="mailto:IRO@Quantumamc.com">IRO@Quantumamc.com</a></p> <p>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.</p> <p>The AMC has Grievance Policy which is available on AMC website <a href="https://www.quantumamc.com/policy">https://www.quantumamc.com/policy</a>.</p> </td> </tr> </table>	<p>Registrars &amp; Transfer Agent: <b>KFin Technologies Limited</b> Unit: Quantum Mutual Fund, Selenium Tower B, Plot number 31 &amp; 32, Financial District, Nanakramguda Serilingampally Mandal, Hyderabad - 500032, Phone: +91 - 040-23312454</p>	<p>Investor may contact the AMC for any Queries / Clarifications / Complaints to Mr. Chandrasen Manjrekar – Vice President Customer Relations at Email – <a href="mailto:CustomerCare@QuantumAMC.com">CustomerCare@QuantumAMC.com</a>, Telephone number – 1800 209 3863 / 1800 22 3863 (Toll Free).</p> <p>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 <a href="mailto:IRO@Quantumamc.com">IRO@Quantumamc.com</a></p> <p>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.</p> <p>The AMC has Grievance Policy which is available on AMC website <a href="https://www.quantumamc.com/policy">https://www.quantumamc.com/policy</a>.</p>
<p>Registrars &amp; Transfer Agent: <b>KFin Technologies Limited</b> Unit: Quantum Mutual Fund, Selenium Tower B, Plot number 31 &amp; 32, Financial District, Nanakramguda Serilingampally Mandal, Hyderabad - 500032, Phone: +91 - 040-23312454</p>	<p>Investor may contact the AMC for any Queries / Clarifications / Complaints to Mr. Chandrasen Manjrekar – Vice President Customer Relations at Email – <a href="mailto:CustomerCare@QuantumAMC.com">CustomerCare@QuantumAMC.com</a>, Telephone number – 1800 209 3863 / 1800 22 3863 (Toll Free).</p> <p>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 <a href="mailto:IRO@Quantumamc.com">IRO@Quantumamc.com</a></p> <p>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.</p> <p>The AMC has Grievance Policy which is available on AMC website <a href="https://www.quantumamc.com/policy">https://www.quantumamc.com/policy</a>.</p>		
<b>Risk-o-Meter &amp; Scheme Summary Document</b>	<p>The Risk-o-meter shall have following six levels of risk:</p> <ol style="list-style-type: none"> <li>Low Risk</li> <li>Low to Moderate Risk</li> <li>Moderate Risk</li> <li>Moderately High Risk</li> <li>High Risk and</li> <li>Very High Risk</li> </ol> <p>The evaluation of risk levels of a scheme shall be done in accordance with SEBI Circular no. SEBI/HO/IMD/DF3/CIR/P/2020/197 dated October 5, 2020.</p> <p>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.</p> <p>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.</p> <p>The Scheme Summary Document of the Scheme will be uploaded and available on the websites of the AMC, AMFI and Stock Exchanges.</p>		
<b>Unitholders' Information</b>	<p><b><u>Account Statement / Allotment Confirmation:</u></b></p> <p>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.</p> <p>As the units of the Schemes are in demat, investors would be provided with a statement of holding by his / her / their Depository Participants as per the rules of Depository. The statement issued by the Depository would be deemed to be adequate compliance with requirement of SEBI regarding dispatch of statement of account.</p> <p><b><u>Annual Report:</u></b></p> <p>The AMC / Mutual Fund shall send the Scheme wise annual report or an abridged summary thereof within four months from the date of closure of the relevant accounting year i.e. March 31 each year to all investors / unit holders as per the following mode:</p>		

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

(ii) in physical form to the investors / Unit holders whose email address is not registered with the AMC / Fund and/or those Unit holders who have opted / requested for the same.

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

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

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

**Monthly / Half yearly Portfolio Disclosures:**

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

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

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

**Half Yearly Results:**

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

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

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

**Dated: April 28, 2023**



### Comparison Chart

Name of the Scheme	Asset Allocation Pattern				Primary Investment Pattern	Differentiation	AUM ₹in Crore (As on Mar 31, 2023)	No. of Folios (As on Mar 31, 2023)	
Quantum Long Term Equity Value Fund	<b>Type of Instruments</b>		<b>Normal allocation (% of Net Assets)</b>	<b>Minimum allocation (% of Net Assets)</b>	<b>Maximum allocation (% of Net Assets)</b>	To invest in shares of companies included in BSE-200 Index.	An Open-ended Equity Scheme following a value investment strategy	822.85	24,830
	Listed Equity & Equity Related Securities of Companies		95% to 99%	65%	99%				
	Unlisted Equity & Equity Related Securities of Companies		0% to 3%	0%	5%				
	Money Market Instruments		1% to 5%	1%	35%				
Liquid Schemes of Mutual Funds		0% to 5%	0%	5%					
Quantum Liquid Fund	<b>Type of Instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To invest in Debt & Money Market Instruments.	An Open-ended Liquid Scheme. A relatively low interest rate risk and relatively low credit Risk.	594.38	5,981	
	Money Market Instruments and other short term debt instruments having maximum re-pricing tenor of not more than 91 days in maturity		100%						
Quantum Gold Fund ETF	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To invest in Physical Gold.	An Open Ended Scheme Replicating / Tracking Gold	167.81	25,541	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Physical Gold		95%	100%					
Money Market Instruments		0%	5%						
Quantum Nifty 50 ETF	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To invest in stocks of companies comprising Nifty 50 Index.	An open ended Scheme Replicating / Tracking Nifty 50 Index	41.03	1,262	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Securities covered by the Nifty 50 Index		95%	100%					
Money Market Instruments		0%	5%						
Quantum Tax Saving Fund	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To invest in shares of companies included in BSE-200 Index.	An Open-ended Equity Linked Saving Scheme with a statutory lock in of 3 years and tax benefit.	117.62	16,441	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Equity and Equity-related Securities		80%	100%					
Debt and Money Market Instruments		0%	20%						
Quantum Equity Fund of Funds	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To invest in a portfolio of open-ended diversified equity schemes of mutual funds registered with SEBI.	An Open Ended Fund of Funds Scheme investing in Open Ended Diversified Equity Schemes of Mutual Funds	88.37	5,719	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Open-ended diversified equity schemes of mutual funds registered with SEBI		95%	100%					
Money Market Instruments and Liquid Schemes of Mutual Funds		0%	5%						
Quantum Gold Savings Fund	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To invest in the units of Quantum Gold Fund ETF.	An Open ended Fund of Fund Scheme investing in Quantum Gold Fund.	90.83	6,271	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Units of Quantum Gold Fund ETF		95%	100%					
Money Market instruments, Short-term Corporate debt securities, Tri-Party Repo and units of Debt and Liquid Schemes of Mutual Funds		0%	10%						
Quantum Multi Asset Fund of Funds	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To invest in the units of Equity, Debt / Money Markets and Gold schemes of Quantum Mutual Fund.	An Open-ended Fund of Funds Scheme investing in schemes of Quantum Mutual Fund.	50.56	2,846	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Units of Equity Schemes		25%	65%					
	Units of Debt / Money Market Schemes		25%	65%					
	Units of Gold Scheme		10%	20%					
Money Market instruments, Short-term Corporate debt Securities, Tri-Party Repo, Repo / Reverse Repo in Government Securities and treasury bills only.		0%	5%						
Quantum Dynamic Bond Fund	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To generate income and capital appreciation through active management of portfolio consisting of short term and long term debt and money market instrument.	An Open-ended Dynamic Debt Scheme Investing Across Duration. A relatively high interest rate risk and relatively low credit risk.	87.78	1,564	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Government Bond / Bill		25%	100%					
	PSU Bond		0%	50%					
	Certificate of Deposits/ Commercial Paper/ Short Term Debt Instrument		0%	75%					
Tri-Party Repo / Repos		0%	100%						
Quantum India ESG Equity Fund	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		Invests in shares of companies that meet Quantum's Environment, Social and Governance (ESG) criteria.	An Open ended equity scheme investing in companies following Environment, Social and Governance (ESG) theme.	61.17	7,176	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Equity & Equity Related Instruments of Companies following ESG Criteria		80%	100%					
Money Market Instruments & Liquid Schemes of Mutual Funds		0%	20%						
Quantum Nifty 50 ETF Fund of Fund	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To invest in the units of Quantum Nifty 50 ETF	An open ended fund of fund scheme investing in units of Quantum Nifty 50 ETF	16.50	5,910	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Units of Quantum Nifty 50 ETF		95%	100%					
Money Market Instrument		0%	5%						

Dated: April 28, 2023

## INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM

### 1. Scheme features and investment details

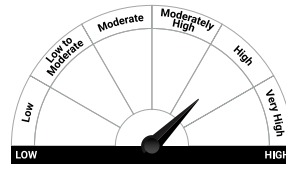
**QUANTUM GOLD FUND**  
**An Open Ended Scheme Replicating / Tracking Gold**

This product is suitable for investors who are seeking\*

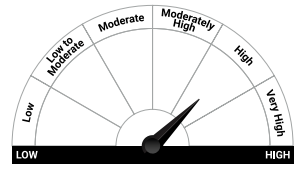
- Long term returns
- Investments in physical gold

**Tier I Benchmark:**  
**Domestic Price of Physical Gold**

**RISK-O-METER OF SCHEME**



**RISK-O-METER OF BENCHMARK**



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



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

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

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

#### 6. Power Of Attorney

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

#### 7. Electronic/ Telecommunication Facility

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

#### 8. Bank Account Details

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

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

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

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

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

In the case of NRIs, payments shall be:

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

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

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

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

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

## 9. FATCA and CRS Details

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

CRS is the OECD' & G-20's Model Competent Authority Agreement for multilateral tax information sharing. It enables automatic exchange of tax information based on the Standard through bilateral tax treaty networks. India signed the CRS Agreement on June 3, 2015. The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which requires Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. For meeting compliance requirements, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. If there is any change in the information provided, kindly intimate the same to us within 30 days.

## 10. Mode Of Payment

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

## 11. Nomination Details

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

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

## 12. Demat Account

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

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

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

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

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

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

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

## 13. List Of Documents

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

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

## 6. Delivery Of Gold

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

### Mumbai Branch:-

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

### Ahmedabad Branch:-

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

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

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

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

Demat Account Details:

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

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

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

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

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

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

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

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

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





# COMMON APPLICATION FORM FOR ETF

(Applicable Form For Market Makers & Large Investors)

(Continuous Offer of units at Applicable NAV)

Quantum Gold Fund ETF  
(An Open Ended Scheme Replicating/Tracking Gold)

Application No: **QMFP**

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

## 1. INTERMEDIARY INFORMATION

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

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

Sign Here ----- First/Sole Applicant/Guardian/PoA Holder	Sign Here ----- Second Applicant	Sign Here ----- Third Applicant
--	--	---------------------------------------

Market Maker/Large Investor Details (Please tick anyone)  Market Maker  Large Investor

Transaction Type  Subscription  Redemption

## 2. EXISTING UNIT HOLDER INFORMATION

Folio No.  Name of the Unit Holder

## 3. MODE OF HOLDING (Please tick)

Single  Joint  Any one or Survivor

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

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

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

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

## 5. PAN DETAILS

1 <sup>st</sup> Applicant	
2 <sup>nd</sup> Applicant	
3 <sup>rd</sup> Applicant	
Guardian	
POA Holder	



## 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

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



Date  Received from: Mr./Ms./M/s \_\_\_\_\_  
 an application for allotment Scheme \_\_\_\_\_ Quantum Gold Fund ETF  
 Subscription  Redemption  
 Units/Amount (₹): \_\_\_\_\_  
 Folio No. : \_\_\_\_\_

Collection Center's Stamp & Receipt Date and Time	
---	--

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



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

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

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

Gender  Male  Female  Transgender (Applicable only individual investors)

Guardian/Eligible Investors - (In case of Minor)/Eligible Investors (In case of non individual applicant)

Relationship with Minor  Father  Mother  Legal Guardian

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

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

Relationship Proof (With specified Guardian)  Birth Certificate  Passport  Other \_\_\_\_\_

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

City  State  Country  Pin code

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

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

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

DOB                 Mobile No.                 Email ID

Gender  Male  Female  Transgender (Applicable only individual investors)

This Email ID belongs to (Mandatory Please ✓):  Self  Spouse  Dependent Children  Dependent Siblings  Dependent Parents  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 (Applicable only individual investors)

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

**7. KYC DETAILS (Mandatory. Please Tick/ Specify. The application is liable to get rejected if details not filled.)**

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

- Resident Individual  Fils  NRI-NRO  HUF  Society  HUF  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</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 <b>OR</b> Net worth (Mandatory for Non-Individuals) ₹ _____ as on <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> (not older than 1 year)	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y	
<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 <b>OR</b> Net worth (Mandatory for Non-Individuals) ₹ _____ as on <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> (not older than 1 year)	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y	
<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 <b>OR</b> Net worth (Mandatory for Non-Individuals) ₹ _____ as on <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> (not older than 1 year)	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y	
<b>Guardian</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 <b>OR</b> Net worth (Mandatory for Non-Individuals) ₹ _____ as on <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> (not older than 1 year)	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y	

For Individuals Investors (Please ✓)	1 <sup>st</sup> Applicant	2 <sup>nd</sup> Applicant	3 <sup>rd</sup> Applicant	Guardian
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, please attach mandatory UBO Declaration)

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

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

POA Name Mr./Ms.

PAN/PEKRN  CKYC ID No.

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

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

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

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

Bank Name  IFSC  MICR Code

Account No  Branch  City  Pin Code

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

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

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

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

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

**11. CASH COMPONENT (Refer Instruction)**

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

Cash Component  Payable  Receivable

Cash Component per Creation Unit (₹) \_\_\_\_\_ (in words)

Total Cash Component (₹) \_\_\_\_\_ (in words)

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

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

**Quantum Gold Fund ETF**

Portfolio Deposit<sup>^</sup>  Cash Subscription<sup>^</sup>

No. of units (in Figures): \_\_\_\_\_ (in Words): \_\_\_\_\_

Delivery Instruction Copy Submitted  Yes  Not Applicable

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

Portfolio Deposit<sup>^</sup>  Cash Redemption<sup>^</sup>

Delivery Instruction Copy Submitted:  Yes

No. of units (in figure) \_\_\_\_\_ No. of units (in words) \_\_\_\_\_

**14. \*PAYMENT DETAILS (Refer Instruction No. 11)**Mode of Payment  Cheque  RTGS/NEFT  IMPS  Transfer Letter/Direct Credit (DC)  DDCheque No./ RTGS/NEFT/IMPS/DC/DD Ref. No.  Date          Gross Amt (₹)  DD Charges (₹)  Net Amt (₹) Bank/Branch & City Account No. Account Type  SB  Current  NRO  NRE  FCNR**15. PHYSICAL COPY OF ANNUAL REPORT** Opt In to receive the physical copy of Annual Report**Application No: QMFP****DECLARATION:**

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

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

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

Signature(s)

Date          

Place \_\_\_\_\_

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

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

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

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

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

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

 **Missed Call Facility** : 022 6829 3807



# DECLARATION FOR ULTIMATE BENEFICIAL OWNERSHIP [UBO]

(Mandatory for Non-individual Applicant/Investor)

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

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

## Part I: Applicant/Investor details:

Investor Name			
Folio No.		PAN	

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

(i) I/We hereby declare that -

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

(ii) Details of Listed Company^

Stock Exchange on which listed.....

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

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

(i) Category [applicable category]:

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

(ii) Details of Ultimate Beneficiary Owners:

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

Details	UBO1	UBO2	UBO3	UBO4
Name of UBO [Mandatory] Along with Designation / Position wherever applicable				
UBO Code [Refer instruction 3]				
PAN or any other valid ID proof for those where PAN is not available / applicable <sup>1</sup>				
KYC (Yes/No) <sup>2</sup>				
Country of citizenship / Nationality				
Country of Tax Residency <sup>3</sup>				
Taxpayer Identification Number <sup>3</sup>				
Country of Birth				
Country of Permanent Address				
Percentage of Holding % <sup>4</sup>				

1. If UBO is KYC compliant, KYC proof to be enclosed. IF UBO is not KYC compliant then, (i) In case of individual Applicant attached PAN or if PAN is not available then attached any one of copy of the Unique Identification Number (UID) / Aadhar / Passport / Voter ID / Driving License (ii) In case of Applicant other than Individual PAN. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.
2. If UBO is not KYC compliant, request to complete KYC formalities and send the intimation to Kfin Technologies Limited / Fund House.
3. Please indicate all countries in which you are resident for tax purposes and the associate Tax Identification Number.
4. In case of HUF, please mention N.A. and provide details / attach copies of PAN of all major coparceners.

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

#### Part IV: Declaration

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

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

Authorised Signatory	Authorised Signatory	Authorised Signatory
----------------------	----------------------	----------------------

Date: 

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

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

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on antimoney laundering and SEBI circular No.CIR/MIRSD/2/2013 dated January 24, 2013, amendments to PML Rules 2005 dated 10th March 2023, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

1. Ultimate Beneficiary Owner [UBO]:

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/ entitlement to:-  
more than 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, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

2. KYC requirements

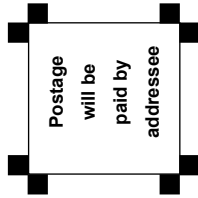
Beneficial Owner(s) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s).

3. UBO Codes:

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

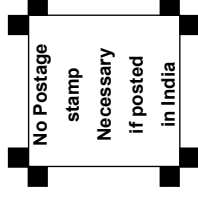


1<sup>st</sup> fold 




**BUSINESS REPLY ENVELOPE**

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




 3<sup>rd</sup> fold

4<sup>th</sup> fold 

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

**Instructions :**

2<sup>nd</sup> fold 

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

## 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

**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