



# SMILE FACILITY FORM

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

505, Regent Chambers, 5th Floor, Nariman Point, Mumbai - 400021.

www.QuantumMF.com

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

Registration / Tagging

Modification

Deletion / Untagging

Folio No.

First Unit Holder Name

Country of Citizenship

Contribution to SMILE Facility :  5% OR  10% OR  Investor Advised  
(For Indian Citizens Only\*)

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

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

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

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

OR

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

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

| NGO1 Name:   | % Contribution |
|--------------|----------------|
| NGO2 Name:   | % Contribution |
| <b>TOTAL</b> | <b>100%</b>    |

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

| Amount       |                |
|--------------|----------------|
| NGO1 Name:   | % Contribution |
| NGO2 Name:   | % Contribution |
| <b>TOTAL</b> | <b>100%</b>    |

## Declaration

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

### Applicable for Non – Individual Investors:

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

Signature with relevant seal:

Date

Place

Sole/1st Applicant/Guardian / Authorised Signatory

2nd Applicant / Authorised Signatory

3rd Applicant / Authorised Signatory

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

## INSTRUCTIONS AND TERMS & CONDITIONS :

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

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

7. **Eligible Schemes:**  
Quantum Long Term Equity Fund, Quantum Equity Fund of Funds, Quantum Dynamic Bond Fund, Quantum Multi Asset Fund, Quantum Gold Savings Fund and Quantum Liquid Fund.
8. Smile facility is available only for Growth Option.
9. **Tagging of Folio to SMILE:**  
Investor needs to mention the Folio Number and Scheme in case of multiple schemes in a folio in the application form which will be tagged for SMILE facility from which selected contribution will be made to HYNGO Foundation. Investor can give request for tagging or un-tagging of the folio chosen for SMILE.
10. **NGO Selections for SMILE Contribution**
  1. HelpYourNGO Foundation
  2. Sree Guruvayurappan Bhajan Samaj Trust - Unnati
  3. CanSupport
  4. Vidya Poshak
  5. Fight Hunger Foundation
  6. Parinaam Foundation
  7. Make-A-Wish Foundation of India

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

11. **Contribution to NGOs:**
  - (i) 5% or 10% of the contribution from the holding of the investor under the folio tagged for SMILE at the end of each year ended September 30, by way of automatic redemption of units subject to minimum contribution amount of Rs. 100/-.

Example for calculation :

  - (a) Holding as on September 30, 2017 is Rs. 5,000 and the investor has selected an option of 5% of the Value.
  - (b) 5 % of Rs 5,000 + load (if any) = Rs. 250 (will be deducted as partial redemption done automatically)
  1. Investor to select from a list of 7 NGOs at the time of initial request for opting the SMILE facility.
  2. Minimum 1 and Maximum 2 NGO can be selected.
  3. If no NGO is/are selected then the default NGO will be the HYNGO Foundation. In this case the investor has the option of selecting sector(s) (maximum 2) to which investor would like to contribute. HYNGO Foundation will then remit the contributed amount to the NGO(s) selected by HYNGO Foundation in the selected sector.
  4. Investors to prescribe a percentage (%) of contribution to be distributed to each NGO in the form.
  5. Investors can change their NGOs and % of contribution any time. However, the amount will be distributed according to the latest request registered as on September 30.
  - (ii) Investor Advised – Investor can contribute minimum amount of Rs. 500/- by way of redemption anytime from folio tagged with SMILE to NGOs. The details of NGOs available for donation are uploaded on the HYNGO Foundation website [www.helpyourngo.com](http://www.helpyourngo.com).
- Payout Process:**

The amount contributed by investors will be transferred based on the investor's authority to the HelpYourNGO (HYNGO) Foundation's bank account within 10 Business Days from the end of the every year ended September 30 / redemption date selected by investor in case of Investor Advised. The HYNGO Foundation in turn will contribute the amounts to respective NGO(s). The Contribution 5% or 10% or Investor Advised will be done by way of redemption of units subject to exit load. The long term / short term capital gain tax as may be applicable depend on the nature of scheme and holding period of units.
12. **Transfer of Funds / Contribution to HYNGO Foundation, 80G Certificate and Reports:**

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

The Investor Advised option allows an investor to:

  1. Contribute to any NGO of listed with HelpYourNGO on their website (<https://www.helpyourngo.com>), not just the NGOs mentioned in the list of NGOs mentioned above.
  2. Redeem his/her units and contribute any amount, not necessarily 5% or 10% of his/her holdings. The minimum contribution should be Rs 500/-
  3. Currently investors can opt for Investor Advised option through offline option by submitting the SMILE facility form.

This option can be availed by all Resident Indians and NRIs – whether they are citizens of India or not.
14. Non Individual Investors (except HUF) required to submit certificate from chartered accountant. Either in the format prescribed in Annexure A or Annexure B as may be applicable.

## Annexure A

(To be printed on CA Letterhead)

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

### CERTIFICATE

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

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

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

For (Name of Chartered Accountants Firm)  
Chartered Accountants

per (Full Name of Partner/Proprietor)  
Partner  
Membership Number: \_\_\_\_\_

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

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

## Annexure B

(To be printed on CA Letterhead)

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

### CERTIFICATE

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

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

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

For (Name of Chartered Accountants Firm)  
Chartered Accountants

per (Full Name of Partner/Proprietor)  
Partner  
Membership Number: \_\_\_\_\_

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

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