



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

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

This KIM is dated April 29, 2022.

## MUTUAL FUND

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

## TRUSTEE

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

## SPONSOR

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

## INVESTMENT MANAGER

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

## Product Labeling

Name of the Scheme & Tier I Benchmark	This product is suitable for investors who are seeking*	Risk-o-meter of Scheme	Risk-o-meter of Tier I Benchmark
<p>Quantum 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 Moderately High Risk</p>	

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

<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.
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<b>Category Of Scheme</b>	Exchange Traded Fund
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<b>Asset Allocation Pattern of the scheme</b>	<b>Types of Instruments</b>	<b>Normal allocation (% of Net Assets)</b>		<b>Risk Profile</b>
		<b>Minimum</b>	<b>Maximum</b>	<b>High/Medium/Low</b>
	Physical Gold	95%	100%*	Medium to High
	Money Market instruments	0%	5%	Low

\*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.

**Note:** 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.

The Scheme would invest in money market instruments and Tri-Party Repo, in order to meet the liquidity requirements of the Scheme.

<b>Investment Strategy</b>	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.
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<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 Authorised Participant 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>
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<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> <table border="1"> <thead> <tr> <th>Type of Risks</th> <th>Risk Management Strategies</th> </tr> </thead> <tbody> <tr> <td>Tracking Error Risk - Risk of deviating away from the investment objective of tracking gold prices</td> <td>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.</td> </tr> <tr> <td>Quality and Purity Risk – Risk of substandard quality of gold</td> <td>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.</td> </tr> <tr> <td>Custody risk– There is a risk that part or the entire scheme's gold could be lost, damaged or stolen.</td> <td>To ensure the highest safety Gold is stored with renowned vaulting agencies in their professional vaults. Gold held by the Fund is fully insured.</td> </tr> <tr> <td>Liquidity risk: High impact cost</td> <td>The Investments are made only in such stocks which has high trading volume in the market.</td> </tr> </tbody> </table>	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.	Liquidity risk: High impact cost	The Investments are made only in such stocks which has high trading volume in the market.
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<b>Plans and Options</b>	The Scheme offers one option - Growth Option.
<b>Applicable NAV</b>	<p>i) The Fund creates / redeems units of the Scheme in ' Creation Unit Size' which is exchanged for portfolio Deposit which would consist of physical Gold of defined purity and quantity and Cash Component. The fund declares the Portfolio Deposit or Cash Component on the website www.QuantumAMC.com / www.QuantumMF.com and the same would be applicable for creating and redeeming unit size for that Business Day.</p> <p><b>Subscription/Purchase including SWITCH-INS:</b></p> <p>a. In respect of valid application received up to 3.00 p.m. on a Business Day at the official point(s) of acceptance and funds for the entire amount of subscription/ purchase (including switch in) as per the application are credited to the bank account of the Scheme and are available for utilization before the cut-off time ( 3.00 p.m.), the closing NAV of the day shall be applicable;</p> <p>b. In respect of valid application received after 3.00 p.m. on a Business Day at the official point(s) of acceptance and funds for the entire amount of subscription / purchase (including switch in) as per the application are credited to the bank account of the Scheme on the same day or before the cut-off time of the next business day i.e. funds are available for utilization before the cut-off time (3.00 p.m.) of the next Business Day, the closing NAV of the next Business Day shall be applicable;</p> <p>c. However, irrespective of the time of receipt of application at the official point(s) of acceptance, where the funds for the entire amount of subscription/ purchase ( including switch in) as per the application are credited to the bank account of the Scheme on or before the cut-off time of the subsequent Business day i.e. the funds are available for utilisation before the cut-off time of the subsequent Business day, the closing NAV of the such subsequent Business Day shall be applicable;</p> <p>It may be noted that in case of Systematic Investment Plan (SIP), Systematic Transfer Plan (STP), Transfer of Income Distribution Cum Capital Withdrawal Facility, the units will be allotted based on the funds available for utilization by the respective schemes / target schemes irrespective of the installment date of the SIP, STP or record date of Income distribution.</p> <p>Further, if the time of realization of funds can't be ascertained then the allotment of units will be as per the day and date of realization of amount of subscription. It may also be noted that allotment of units in the normal course will be based on realization of amount of subscription or the date of receipt of application or the date of instalment (in case of SIP) whichever is later if both realization and application dates are different.</p> <p><b>REDEMPTIONS</b></p> <p>(i) In respect of valid applications received upto 3.00 p.m. on a Business Day - the closing NAV of the day of receipt of application, shall be applicable.</p> <p>(ii) In respect of valid applications received after 3.00 p.m. on a Business Day - the closing NAV of the next Business Day shall be applicable However, as the Scheme is a Gold Exchange Traded Scheme, the subscriptions and redemptions of units would be based on the Portfolio Deposit and Cash Component as defined by the Fund for that respective Business Day.</p> <p><b>On the Exchange:</b> As the Units of the Scheme are listed on NSE, an investor can buy / Sell units on continuous basis on the capital market segment of NSE during trading hours like any other publicly traded stock at prices which may be close to the actual NAV of the Scheme.</p>
<b>Minimum Application Amount/ Number of Units</b>	<p><b>Directly with Fund:</b> The investors can create / redeem in exchange of Portfolio Deposit and Cash Component in creation of unit size at 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 10 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 Trustees shall fix the quantum of Income to be distributed and the 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 5 calendar 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. Declaration of Income Distribution is subject to the availability of distributable surplus. The Income can be distributed out of investors capital (Equalization Reserve), which is part of sale price that represents realized gains. It must be distinctly understood that the actual declaration of income under the Scheme and the frequency thereof will, inter-alia, depend upon the distributable surplus of the Scheme. There is no assurance or guarantee to Unitholders as to the rate of income distribution nor that the income distribution will regularly be distributed. The income that may be distributed out of distributable surplus of the Scheme will be distributed only to those Unitholders whose names appear in the register of Unitholders on the notified record date. Unitholders are entitled to receive Income within 15 days from the record date of the Income Distribution. On distribution of Income, the NAV will stand reduced by the amount of income distributed and statutory levy, if any, at the close of business hours on record date.</p>

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

Ms. Ghazal Jain : Managing since June 02, 2020 (1.10 years)

**Name of the Trustee Company**

Quantum Trustee Company Private Limited

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

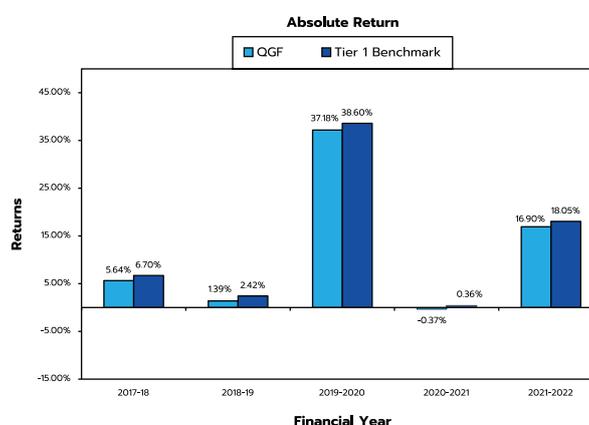
**Quantum Gold Fund - Growth Option**

Period	Scheme Returns %	Tier – I Benchmark Returns % (Domestic Price of Gold)
1 Year*	16.90%	18.05%
3 Years**	16.85%	17.92%
5 Years**	11.33%	12.40%
7 Years**	9.03%	10.11%
10 Years**	5.09%	6.13%
Since Inception**	9.85%	10.71%

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, 2022**

(i) Top 10 Holdings by Issuer:

Issuer	% to NAV
GOLD .995 Purity 1KG BAR at Mumbai Location	89.98%
GOLD .995 Purity 1KG BAR at Ahmedabad Location	5.03%
GOLD .999 Purity 100 Gram BAR at Ahmedabad Location	3.54%
Others	1.09%
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	98.91%
Others	1.09%
<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/schemeportfolio.aspx?SchemeId=0&FactSheetType=2>

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

5.27%

**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) / [www.QuantumMF.com](http://www.QuantumMF.com). Investor can refer <https://www.quantumamc.com/total-expense-ratio/report-1> 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 2021 to March 2022. Direct Plan - ₹1,05,67,646 (0.78% p.a.)

#### Waiver of Load for Direct Applications

Not Applicable  
Pursuant to SEBI circular no. SEBI/IMD/CIR No.4/ 168230/09 dated June 30, 2009 no entry load shall be charged for all mutual fund schemes. Therefore, the procedure for waiver of load for direct applications is no longer applicable.

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

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

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

NAV shall be calculated and disclosed on every Business Day. AMC shall update the NAV under separate head on the website of the Fund ([www.QuantumMF.com](http://www.QuantumMF.com) / [www.QuantumAMC.com](http://www.QuantumAMC.com)) and on the website of Association of Mutual Funds in India [www.amfiindia.com](http://www.amfiindia.com) by 1100 p.m. every business day. Investors may obtain latest NAV through SMS by a specific request to the AMC.

#### For Investor Grievances please contact

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

Investor queries and complaints constitute an important voice of investor, and to this effect the AMC has formulated a Grievance Redressal Policy (which can be viewed at [www.QuantumMF.com](http://www.QuantumMF.com)) Mr. Sandeep Bhosle – Assistant Vice President – Customer Interaction for any queries / clarifications and Ms. Meera Shetty – Investor Relation Officer for any complaint / grievance can be contacted at Quantum Asset Management Company Private Limited 6th Floor, Hoechst House, Nariman Point, Mumbai - 400021, email [customer@QuantumAMC.com](mailto:customer@QuantumAMC.com), Telephone number - 1800 209 3863 / 1800 22 3863 (Toll Free), Fax number 022 - 1800 22 3864 (Toll Free).

#### Unitholders' Information

##### Account Statement / Allotment Confirmation:

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

As the units of the Schemes are in demat, investors would be provided with a statement of holding by his / her / their Depository Participants as per the rules of Depository. The statement issued by the Depository would be deemed to be adequate compliance with requirement of SEBI regarding dispatch of statement of account.

##### Annual Report:

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

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

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

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

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

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

##### Monthly / Half yearly Portfolio Disclosures:

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

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

respectively.

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

**Half Yearly Results:**

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

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

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

**Dated: April 29, 2022**

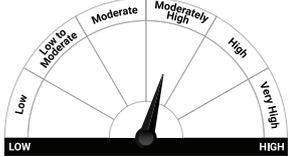
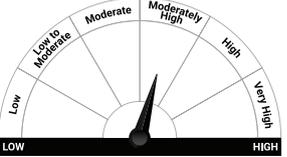
### Comparison Chart

Name of the Scheme	Asset Allocation Pattern				Primary Investment Pattern	Differentiation	AUM ₹in Crore (As on Mar 31, 2022)	No. of Folios (As on Mar 31, 2022)	
Quantum Long Term Equity Value Fund	<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 Scheme following a value investment strategy	869.48	26,352	
	Listed Equity & Equity Related Securities of Companies		95% to 99%	65%					99%
	Unlisted Equity & Equity Related Securities of Companies		0% to 3%	0%					5%
	Money Market Instruments		1% to 5%	1%					35%
Liquid Schemes of Mutual Funds		0% to 5%	0%	5%					
Quantum Liquid Fund	<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.	526.90	6,258	
	Money Market Instruments and other short term debt instruments having maximum re-pricing tenor of not more than 91 days in maturity		100%						
Quantum Gold Fund ETF	<b>Type of instruments</b>		<b>Normal Allocation (% of Net Assets)</b>		To invest in Physical Gold.	An Open Ended Scheme Replicating / Tracking Gold	144.36	9,504	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Physical Gold		95%	100%					
Money Market Instruments		0%	5%						
Quantum Nifty 50 ETF	<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	16.67	660	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Securities covered by the Nifty 50 Index		95%	100%					
Money Market Instruments		0%	5%						
Quantum Tax Saving Fund	<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.	105.20	12,742	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Equity and Equity-related Securities		80%	100%					
Debt and Money Market Instruments		0%	20%						
Quantum Equity Fund of Funds	<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	79.27	5,580	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Open-ended diversified equity schemes of mutual funds registered with SEBI		95%	100%					
Money Market Instruments and Liquid Schemes of Mutual Funds		0%	5%						
Quantum Gold Savings Fund	<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.	72.87	5,864	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Units of Quantum Gold Fund ETF		95%	100%					
Money Market instruments, Short-term Corporate debt securities, Tri-Party Repo and units of Debt and Liquid Schemes of Mutual Funds		0%	10%						
Quantum Multi Asset Fund of Funds	<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.	46.35	2,536	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Units of Equity Schemes		25%	65%					
	Units of Debt / Money Market Schemes		25%	65%					
	Units of Gold Scheme		10%	20%					
Money Market instruments, Short-term Corporate debt Securities, Tri-Party Repo, Repo / Reverse Repo in Government Securities and treasury bills only.		0%	5%						
Quantum Dynamic Bond Fund	<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.	85.44	1,617	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Government Bond / Bill		25%	100%					
	PSU Bond		0%	50%					
	Certificate of Deposits/ Commercial Paper/ Short Term Debt Instrument		0%	75%					
Tri-Party Repo / Repos		0%	100%						
Quantum India ESG Equity Fund	<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.	58.05	7,116	
			Minimum Allocation (% of Net Assets)	Maximum Allocation (% of Net Assets)					
	Equity & Equity Related Instruments of Companies following ESG Criteria		80%	100%					
Money Market Instruments & Liquid Schemes of Mutual Funds		0%	20%						

Dated: April 29, 2022

## INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM

### 1. Scheme features and investment details

<p><b>Quantum Gold Fund</b> An Open Ended Scheme Replicating / Tracking Gold</p>	<p><b>Risk -o- meter of scheme</b></p> 	<p><b>Risk -o- meter of Tier I Benchmark</b></p> 
<p>This product is suitable for investors who are seeking*</p> <ul style="list-style-type: none"> <li>• Long term returns</li> <li>• Investments in physical gold</li> </ul>		
<p><b>Tier I Benchmark:</b> <b>Domestic Price of Physical Gold.</b></p>		

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

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

### 2. General Instructions

- a) Please read the Key Information Memorandum, Scheme Information Document (SID) of the respective scheme(s) and Statement of Additional Information (SAI) containing the terms of offer carefully before investing.
- b) Please Tick (✓) in the appropriate box (o), where boxes have been provided.
- c) Application Form should be filled legibly in ENGLISH in BLOCK letters using Black or Dark Blue ink. Incomplete application forms are liable to be rejected. Please refer to the checklist at the end of the application form to ensure that the requisite details and documents have been provided in order to avoid unnecessary delays and / or rejection of your application.
- d) Please strike out any section that is not applicable. Correction/Cancellation on any of the information should be countersigned by the investor.
- e) All applicants are deemed to have accepted the terms subject to which the offer is being made and bind themselves to the terms upon signing the Application Form and tendering the payment.
- f) In case of applications under Power of Attorney or by a Limited Company or by a Corporate Body or Eligible Institution or a Registered Society or a Trust or a Fund the original Power of Attorney or the certified copy thereof duly notarised and the relevant resolution or authority to make the application, as the case may be including authority granted in favour of the officials signing the application and their specimen signature etc., or duly certified copy thereof along with a certified copy of the Memorandum and Articles of Association and/or bye-laws and/or trust deed and/or partnership deed and certificate of registration must be lodged at the office of the Registrar, quoting the serial number of application simultaneously with the submission of the Application Form, failing which the application is liable to be rejected.
- g) All communications and payments will be made to the sole/first applicant or to the Karta in case of HUF. Confirmation may also be sent to all joint holders.
- h) While processing the redemption/switch out request in case Quantum AMC/Registrar come across a signature mismatch, then Quantum AMC/Registrar reserves the right to process the redemption/switch only on the basis of supporting documents confirming the identity of the investors. List of such documents would be notified by Quantum AMC from time to time.
- i) Quantum Mutual Fund does not levy any transaction charges to pay to the distributors and will invest the whole subscription amount received and units will be allotted accordingly.

### 3. Existing Unitholder Information

An existing investor should mention the correct Folio Number & go directly to Section (Scheme Details). Investors should note that there will be no change to the existing Investor Profile Details mentioned in the Existing Folio.

### 4. A) Permanent Account Number (PAN)

Permanent Account Number (PAN) issued by the Income Tax Authorities has been made mandatory for all the applications received in the Scheme, irrespective of the amount of transaction (except MICRO SIP Investments). Accordingly it is mandatory for investor's to provide their PAN along with self-attested copy of PAN Card while making an application for Purchase of Units. In case of joint holding, PAN details of all holders should be submitted. In case the application is on behalf of minor /PoA holder, PAN details of the Guardian/ PoA holder must be submitted. Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission; however sufficient documentary evidence shall have to be submitted for verifying that they are residents of the State of Sikkim. Applications without the aforesaid details are liable to be rejected without any reference to the investors. The PAN Exempt KYC Registration Number (PEKRN) needs to be provided in case of PAN exempt cases.

### B) Know Your Customer (KYC)

According to SEBI Guidelines under 'The Prevention of Money Laundering Act, 2002, Mutual Funds are required to follow enhanced Know Your Customer (KYC) norms. Accordingly, it will be mandatory for all categories of investors to be KYC Compliant, irrespective of the amount of investment. Categories include:

- i. Individual investors.
- ii. Non-individual investors such as Companies, Body Corporates, Association of Persons, Banks, Financial Institutions, Funds, Trusts, Societies, Hindu Undivided Family (HUF), Partnership Firms, Foreign Institutional Investors, Limited Liability Partnerships etc.
- iii. Non-Resident Investors (NRIs), including Persons of Indian Origin (PIOs).

The above category of investors for the purpose of KYC compliance shall include their constituted Power of Attorney (POA) holder, in case of investment through a POA and each of the applicants, in case of application in joint names and also the guardian in case of a minor. Investors investing through Micro SIP or investors residing in the state of Sikkim or UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India or in case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc. are exempt from the mandatory requirement of PAN proof submission, however they are required to mandatorily submit KYC Acknowledgment copy while making an investment in Quantum Mutual Fund. Please refer to our website [www.QuantumMF.com](http://www.QuantumMF.com) and AMFI website [www.amfiindia.com](http://www.amfiindia.com) and SEBI registered intermediaries for KYC compliance where the completed forms and the relevant documents are to be submitted. Applications for subscriptions without a valid KYC Compliance for the relevant category of investors may be rejected.

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

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

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

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

## 6. Applicant Information

- a. Name should be given in full without any abbreviations. Preferably write exactly as it appears in your Bank Account & KYC records or as it appears in the incorporation document or demat account as the case may be.
- b. Name, Date of birth of the Minor, Name of Parent/Guardian and relationship with minor is mandatory for investment on behalf of a Minor applicant, proof of date of birth and relationship proof is mandatory.
- c. Name of the Contact Person, email and Telephone no. should be mentioned in case of investments by Company, Body Corporate, Trust, Society, FII and other non-individual applicants.
- d. The signature should be in English or in any of the Indian languages. Thumb Impressions must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal. Application by minor should be signed by the guardian. In case of H. U. F., the Karta should sign on behalf of the H. U. F.
- e. The designated Investor Service Center/ Official Point of Acceptance will affix time stamp/manual stamp and return the acknowledgement slip from the application form, to acknowledge receipt of the application. No separate receipt will be issued for the application money.
- f. Please fill in all the fields to prevent rejection of your Application Form. Please refer to the checklist provided at the end of the Application Form to ensure that the necessary details and attachments are made available. The application complete in all respects along with the cheque/ fund transfer instructions must be submitted to the nearest designated Investor Service Center. Official Points of Acceptance Applications which are incomplete, invalid in any respect or not accompanied by cheque or fund transfer instructions for the amount payable are liable to be rejected.
- g. Investors must write the Application Form number / Folio number on the reverse of the cheques accompanying the Application Form.
- h. Name and address must be given in full (P.O. Box Address alone is not sufficient). In case of NRIs/FIIs 'Overseas Address' should also be provided failing which application may be rejected. In addition, Indian address should be stated for correspondence.
- i. Differently abled here refers to people with Blindness, Low vision, Leprosy-cured, Hearing impairment, Loco motor disability, Mental retardation, Mental illness etc. as defined under the Persons with Disabilities Act, 1995, which ensures Participation and Equality of the People with Disabilities. This is as per the definition laid down by the Department of Empowerment of Persons with Disabilities, Government of India. [http://disabilityaffairs.gov.in/upload/uploadfiles/files/PWD\\_Act.pdf](http://disabilityaffairs.gov.in/upload/uploadfiles/files/PWD_Act.pdf).
- j. Some additional details are required for validating your identity for certain transactions / Communications. Hence please fill annual income, mobile number and email id in case of all applicants.
- k. Please provide email ID & Mobile Number, this will help us send investment / product related communication and resolve any queries more promptly. This is compulsory for all electronic/ telecommunication facilities available now and to be introduced in future. Please declare if the Email Id and Mobile Number of the respective applicants belongs to Self / Spouse / Dependent Children / Dependent siblings / Dependent Parents / Guardian
- l. In the event the application has more than one investor and the mode of holding is not specified in the application form, the default option for holding would be considered to be "anyone or survivor". However, in all such cases, communications, proceeds of all income distribution/redemption will be paid to the first named holder. m. The minor shall be the first and the sole holder in an account. There shall not be any joint accounts with minor as the first or joint holder.

- n. Date of birth of the minor along with photocopy of supporting documents as enumerated below shall be mandatory while opening the account on behalf of minor:
1. Birth certificate of the minor, or 2. School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or 3. Passport of the minor, or 4. Any other suitable proof evidencing the date of birth of the minor.
- o. Guardian in the folio on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian.
- p. In case the Occupation is not specified, the default occupation will be considered as "Private Sector Service" and in case the Income slab is not selected, the default income slab (minimum income) "Upto 1 Lac" will be considered.

#### 7. Power Of Attorney

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

#### 8. Online / Telephonic PIN

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

#### 9. Electronic/ Telecommunication Facility

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

#### 10. Bank Account Details

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

Please attach either a Cancelled Cheque with first applicant name and account number pre-printed on the face of the cheque or a Bank Statement 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.

## 11. Mode Of Payment

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

**CHECKLIST** (Please submit the following documents with your application (where applicable). For Investors other than Individuals please also submit declaration of Beneficial Ownership (as applicable) as per format available on [www.QuantumMF.com](http://www.QuantumMF.com) All documents should be original/true copies certified by a Director/Trustee /Company Secretary /Authorised signatory / Notary Public.)

Documents	Individual	HUF	Companies / LLP	Societies	Partnership Firms	Investment through POA	Trusts	NRI	Fils*	PIO	FPI#
Resolution/ Authorisation to invest			✓	✓	✓		✓		✓		✓
List of authorised signatories with specimen signatures			✓	✓	✓	✓	✓		✓		✓
Memorandum & Articles of Association			✓								
Trust Deed							✓				
Declaration of Ultimate Beneficial Ownership		✓	✓	✓	✓		✓		✓		✓
Bye-laws				✓							
Partnership Deed					✓						
Certificate of Registration									✓		✓
Notarised POA						✓					
Copy of PAN Card	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓
KYC Compliance	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
PIO Card										✓	
Foreign Inward Remittance Certificate										✓	
Trigger Form (if applied)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Declaration under FATCA	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

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

- iv. After completing the fund transfer through IMPS mode, the investor needs to mention the payment reference number under the section 'Payment Details' in the main application form.
12. Please register additional banks through which you want to invest by filling and submitting Multiple Bank Mandate along with supporting documents.

## 12. Nomination Details

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

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

## 13. Demat Account

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

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

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

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

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

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

## 14. List Of Attachments

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

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

### 15. SMILE Facility

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

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

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

7. Eligible Schemes:

Quantum Long Term Equity Value Fund, Quantum Equity Fund of Funds, Quantum India ESG Equity Fund, Quantum Dynamic Bond Fund, Quantum Multi Asset Fund, Quantum Gold Savings Fund and Quantum Liquid Fund.

8. Smile facility is available only for Growth Option.

9. Tagging of Folio to SMILE:

Investor needs to mention the Folio Number and Scheme in case of multiple schemes in a folio in the application form which will be tagged for SMILE facility from which selected contribution will be made to HYNCO Foundation. Investor can give request for tagging or un-tagging of the folio chosen for SMILE.

10. NGO Selections for SMILE Contribution:

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

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

11. Annual Contribution to NGO:

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

## 12. Investor Advised Contribution Option:

The Investor Advised option allows an investor to:

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

### **Payout Process:**

The amount contributed by investors will be transferred based on the investor's authority to the HelpYourNGO (HYNCO) 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 HYNCO Foundation in turn will contribute the amounts to respective NGO(s). The Contribution 10% or Investor Advised will be done by way of redemption of units subject to exit load. The long term / short term capital gain tax as may be applicable depend on the nature of scheme and holding period of units.

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

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

HYNCO 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. HYNCO will procure a confirmation from the NGO that the donation amount has been received. HYNCO Foundation will update Reports on amount contributed through SMILE on HYNCO Foundation website [www.helpyourngo.com](http://www.helpyourngo.com).

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

## **FATCA and CRS Details**

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

<b>1. Minimum Application Amount / No. Of Units</b>	<p>The investors can create / redeem in exchange of Portfolio Deposit or Cash and Cash Component in Creation Unit Size at NAV based Price. Presently one Creation Unit Size is equal to 2000 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> / <a href="http://www.QuantumMF.com">www.QuantumMF.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>	<ol style="list-style-type: none"> <li>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.</li> <li>ii. Bars are received from a refiner accredited to London Bullion Market Association (LBMA).</li> <li>iii. Details in Assay Certificate matches with the details on the bar with regard to fineness, bar number, refiner etc.</li> <li>iv. Assay certificate is duly signed by the signatory with the refiners logo printed on it.</li> <li>v. The Box number / Bar number should match with the Box number / Bar number listing.</li> <li>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.</li> </ol> <p>Certified Vault agents would be Brinks Arya Pvt. Ltd.</p> <ol style="list-style-type: none"> <li>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.</li> </ol> <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 subscription, 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 / Authorised Participants / Large Investors 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 / Authorised Participants / Large Investors 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 / Authorised Participants / Large Investors 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 / Authorised Participants / Large Investors within 3 Business Days of the receipt of request for redemption. The Eligible Investors / Authorised Participants / Large Investors 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 / Authorised Participants / Large Investors.

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

## 10. Liquidity Window

The days on which the Mutual Fund will issue or repurchase units directly from Investors, as may be decided by the Mutual Fund, at its discretion from time to time during the continuous offer.

Presently, the Liquidity Window for direct subscription is open on all Business Days only for Authorised Participation / Eligible Investors / Large Investors; the Fund may in its own discretion and in the interest of the retail investors, open the Liquidity Window for such period as it may decide from time to time to allow liquidity to investors.



# COMMON APPLICATION FORM FOR ETF

(Continuous Offer of units at Applicable NAV)

Quantum Gold Fund ETF  
(An Open Ended Scheme Replicating/Tracking Gold)  
Quantum Nifty 50 ETF  
(An Open Ended Scheme Replicating/Tracking Nifty 50 Index)

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.

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

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

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

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

Date of Birth/Date of Incorporate 

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

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

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

Relationship with Minor  Father  Mother  Legal Guardian \_\_\_\_\_

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

Type of Guardian  Natural Guardian  Court Appointed guardian

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

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

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

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

Application No: **QMFP**

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



Date 

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

 Received from: Mr./Ms./M/s \_\_\_\_\_

an application for allotment Scheme \_\_\_\_\_

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

Amount (₹) \_\_\_\_\_

Drawn on Bank and Branch \_\_\_\_\_

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

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





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

POA Name Mr./Ms.

Address

City  Pin Code

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

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

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

Bank Name  IFSC  MICR Code

Account No  Branch  City  Pin Code

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

\*Mandatory - Please attach either a Cancelled Cheque with first applicant name and account number pre-printed on the face of the cheque or a Bank Statement 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.

**7. \*INVESTMENT DETAILS** (Please ✓) (Refer Scheme Specific Instructions) **Quantum Nifty 50 ETF**

Portfolio Deposit^  Cash Redemption^

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

Delivery Instruction Copy Submitted  Yes  Not Applicable

(^Refer Scheme Specific Instructions point No. 4 & 6)

**8. SWITCH DETAILS** To Quantum Gold Fund (Only during liquidity window period)

All Units:  Partial Units:  \_\_\_\_\_

<input type="checkbox"/> Quantum Long Term Equity Value Fund	<input type="checkbox"/> Quantum India ESG Equity Fund	<input type="checkbox"/> Quantum Tax Saving Fund	<input type="checkbox"/> Quantum Equity Fund of Funds	<input type="checkbox"/> Quantum Liquid Fund	<input type="checkbox"/> Quantum Dynamic Bond Fund
<input type="checkbox"/> Growth Option	<input type="checkbox"/> Dividend Option			<input type="checkbox"/> Growth Option	<input type="checkbox"/> Daily Dividend Reinvestment Option
	<input type="checkbox"/> Dividend Reinvestment Facility	<input type="checkbox"/> Dividend Payout Facility		<input type="checkbox"/> Quantum Gold Savings Fund - Growth Option	<input type="checkbox"/> Quantum Multi Asset Fund of Funds - Growth Option

**9. REDEMPTION DETAILS** (Please ✓) **Quantum Nifty 50 ETF**

Portfolio Deposit^  Cash Subscription^

Delivery Instruction Copy Submitted:  Yes

(^Refer Scheme Specific Instructions point No. 5 & 7)

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

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

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

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

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

Bank/Branch & City

Account Type  SB  Current  NRO  NRE  FCNR

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

The below information is required for all applicants/guardian

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

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

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

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

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

NSDL  CDSL (Switch not allowed. Redemption Stock Exchange Platforms / Depository Participants only)

I would like to be allotted units in DEMAT mode.  Yes  No (Please a) (Non - ticking of this box would result in allotment of units in physical form).

Please ensure that the name of the investor in the application form matches with the account held with the depository participant.

NSDL  I  N  BENEFICIARY Account No. (NSDL Only)

CDSL

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

**13. SOURCE OF INFORMATION**

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

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

**14. PHYSICAL COPY OF ANNUAL REPORT**

Opt In to receive the physical copy of Annual Report

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

**CHECK LIST: Please ensure the following:**

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

Enclosures:

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

**Enclosures (if applicable)**

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

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

 **Website** : www.QuantumAMC.com

 **Email** : CustomerCare@QuantumAMC.com

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

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

 **Missed Call Facility** : 022 6829 3807

**DECLARATION:**

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

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

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

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

Repatriation     Non Repatriation    Signature(s) \_\_\_\_\_ Date 

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

 Place \_\_\_\_\_

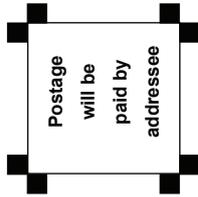
Sole/1 <sup>st</sup> Applicant/Guardian/Authorised Signatory	POA Signatory	2 <sup>nd</sup> Applicant / Authorised Signatory	3 <sup>rd</sup> Applicant / Authorised Signatory
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**CHECKLIST** (Please submit the following documents with your application (where applicable). For Investors other than Individuals please also submit declaration of Beneficial Ownership (as applicable) as per format available on [www.QuantumMF.com](http://www.QuantumMF.com) All documents should be original/true copies certified by a Director/Trustee /Company Secretary /Authorised signatory / Notary Public.)

Documents	Individual	HUF	Companies/ LLP	Societies	Partnership Firms	Investment through POA	Trusts	NRI	FII's*	PIO	FPI#
Resolution/ Authorisation to invest			✓	✓	✓		✓		✓		✓
List of authorised signatories with specimen signatures			✓	✓	✓	✓	✓		✓		✓
Memorandum & Articles of Association			✓								
Trust Deed							✓				
Declaration of Ultimate Beneficial Ownership		✓	✓	✓	✓		✓		✓		✓
Bye-laws				✓							
Partnership Deed					✓						
Certificate of Registration									✓		✓
Notarised POA						✓					
Copy of PAN Card	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓
KYC Compliance	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
PIO Card										✓	
Foreign Inward Remittance Certificate										✓	
Trigger Form (if applied)	✓		✓	✓	✓	✓	✓	✓	✓	✓	
Declaration under FATCA	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

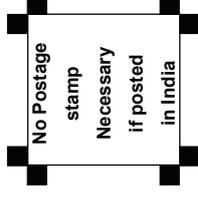
\*For FII's copy of SEBI registration certificate should be provided. #Certificate of registration granted by designated depository participants on behalf of SEBI.

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

2<sup>nd</sup> fold 

**Instructions :**

- 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