



## Key Information Memorandum Cum Application Form

# QUANTUM MULTI ASSET ALLOCATION FUND

(An Open-Ended Scheme Investing in Equity & Equity Related Instruments, Debt & Money Market Instruments and Gold Related Instruments)

(Continuous Offer of units at NAV Based Prices)



## Product Labeling

Name of the Scheme and Benchmark	This product is suitable for investors who are seeking*	Risk-o-meter of Scheme	Risk-o-meter of Tier I Benchmark
<p>Quantum Multi Asset Allocation Fund</p> <p>An Open-Ended Scheme Investing in Equity &amp; Equity Related Instruments, Debt &amp; Money Market Instruments and Gold Related Instruments</p> <p>Tier I Benchmark: NIFTY 50 TRI (40%) + CRISIL Short Duration Debt A-II Index (45%) + Domestic Price of Gold (15%)</p>	<ul style="list-style-type: none"> <li>Long term capital appreciation and current income</li> <li>Investment in a Diversified Portfolio of Equity &amp; Equity Related Instruments, Debt &amp; Money Market Instruments and Gold Related Instruments</li> </ul>	<p>The risk of the scheme is Very High Risk</p>	<p>The risk of the benchmark is Moderately High Risk</p>

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

MUTUAL FUND	TRUSTEE COMPANY	ASSET MANAGEMENT COMPANY
<p>Quantum Mutual Fund</p> <p>1st Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400 020</p> <p><a href="http://www.QuantumAMC.com">www.QuantumAMC.com</a></p>	<p>Quantum Trustee Company Private Ltd.</p> <p>1st Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400 020</p> <p>CIN - U67190MH2005PTC156119</p>	<p>Quantum Asset Management Company Private Ltd.</p> <p>1st Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400 020</p> <p>CIN - U65990MH2005PTC156152</p> <p><a href="http://www.QuantumAMC.com">www.QuantumAMC.com</a></p>

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

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

This Key Information Memorandum is dated November 27, 2025.

## Investment Objective

The investment objective of the Scheme is to generate long term capital appreciation / income by investing in Diversified portfolio of Equity & Equity Related Instruments, Debt & Money Market Instruments and Gold Related Instruments.

There is no assurance that the investment objective of the scheme will be achieved.

## Asset Allocation Pattern of the scheme

Instruments	Indicative allocations (% of total assets)	
	Minimum	Maximum
Equity & Equity Related Instruments	35	65
Debt & Money Market Instruments	25	55
Gold Related Instruments*	10	20

\*Includes Gold ETF and other Gold Related Instruments which may be permitted under the SEBI Regulations from time to time.

The cumulative gross exposure through all permissible investments viz. Equity & Equity Related Instruments, Debt & Money Market Instruments and Gold Related Instruments shall not exceed 100% of the net asset of the Scheme pursuant to para-No. 12.24 of SEBI Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024.

Cash and cash equivalents as per SEBI letter no. SEBI/HO/IMD-II/DOF3/OW/P/2021/31487/1 dated November 03, 2021 which includes T-bills, Government Securities and Repo on Government Securities having residual maturity of less than 91 Days, shall not be considered for the purpose of calculating gross exposure limit.

### Indicative Table

Sr. No.	Type of Instruments	Percentage of Exposure	Circular Reference
1	Securities Lending / Short Selling	Nil	Para 12.11 of SEBI Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024
2	Equity Derivatives Hedging / Non – Hedging Purpose	Nil	Para 12.25 of SEBI Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024
3	Securitized Debt / Structured Obligations / Credit Enhanced Debt / Repo / Reverse Repo of Corporate Debt Securities / Debt Instruments having Special Features	Nil	Para 12.15 of SEBI Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024
4	Overseas Securities / ADRs / GDRs	Nil	Para 12.19 of SEBI Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024
5	REIT / InvIT	Nil	Clause 13 of Seventh Schedule of SEBI Mutual Funds Regulations and Para 12.21 of SEBI Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024

### Portfolio Rebalancing in case of deviation from Asset Allocation Under Defensive Consideration

The asset allocation pattern indicated above may change from time to time, depending on liquidity considerations or on account of high levels of subscriptions or Repurchase / Redemptions relative to Scheme size, or upon various defensive considerations including market conditions, market opportunities, applicable regulations and political and economic factors. These proportions may vary substantially depending upon the perception of the AMC the intention being at all times to seek to protect the interests of the Unitholders. Such changes in the investment pattern will be for short term and only for defensive considerations. In the event of deviations from the above asset allocation table, the Fund Manager will carry out rebalancing within 30 Calendar Days in accordance to para-No. 2.9 of SEBI Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024. However, at all the times the portfolio will adhere to the overall investment objectives of the Scheme.

### Portfolio Rebalancing in case of Passive Breach

Pursuant to para-No. 2.9 of SEBI Master Circular No. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024, in the event of deviation from the above asset allocation due to passive breaches (occurrence of instances not arising out of omission and commission of the AMC), the rebalancing shall be done within 30 Business Days. In case the rebalancing is not done within 30 Business Days, then justification in writing including details of efforts taken to rebalance the portfolio shall be placed before the Investment Committee. The Investment Committee, if so desires, can extend the timelines upto 60 Business Days from the date of completion of 30 Business Days rebalancing period.

In case the portfolio of scheme is not rebalanced within the aforementioned mandated plus extended timelines, the AMCs shall:

- not be permitted to launch any new scheme till the time the portfolio is rebalanced.
- not to levy exit load, if any, on the investors exiting from the scheme.

AMC shall report the deviation to Trustees at each stage. Further, in case the AUM of deviated portfolio is more than 10% of the AUM of main portfolio of scheme:

1. AMCs shall immediately disclose the same to the investors through SMS and email / letter including details of portfolio not rebalanced.
2. AMCs shall also immediately communicate to investors through SMS and email / letter when the portfolio is rebalanced.

AMCs shall also disclose any deviation from the mandated asset allocation to investors along with periodic portfolio disclosures as specified by SEBI from the date of lapse of mandated plus extended rebalancing timelines.

## Investment Strategy

### Investment Philosophy / Strategy

Portfolio allocation between the equity, debt/ money markets and gold broadly depends on the relative valuations between the asset classes. Relative valuations are determined by evaluation of various influencing factors. Some of the factors that would be reviewed thoroughly for determination of allocations across asset classes include:

1. Price/Earnings Ratio relative to historical averages;
2. The relationship between Earnings Yield to Bond Yield relative to historical averages;
3. Macroeconomic factors prevailing globally, and within India.

The most well-known valuation parameter for equity is the Price-Earnings (P/E) ratio. The estimated earnings of a company are valued at varying multiples that result in a specific but constantly changing price. The P/E multiple is used to determine the current valuation of a stock. Typically, when the P/E ratio exceeds its historical or expected levels the stock moves to an overvalued price. As the P/E ratios of stocks increase over their historical or expected averages, the scheme will look to progressively reduce exposure to equities as an asset class.

The inverse of P/E ratio is earnings yield: it is the earnings per share of the company, divided by the price per share typically expressed as a percentage. This earnings yield can be compared to the bond yield for assessing the relative over or under-valuation of stocks with respect to bonds. Earnings yields on stocks should offer investors a premium over bond yields due to the relatively higher risk associated with investing in equity – ownership of bonds give defined coupon payments, while ownership of shares does not guarantee any payments. This is referred to as the equity risk premium. When the equity risk premium falls to levels below historical averages, equities become relatively more expensive over bonds. These relative yields between bonds and stocks will provide key input to the allocation between equity and debt / money market asset class.

Gold has historically acted as an effective portfolio diversifier. It generally tends to have a negative correlation to equities. Based on the above notion, allocation to gold would therefore increase at times when equities appear expensive on a relative basis and decrease at times when equities appear relatively undervalued.

In addition to these market related factors, the macro environment could influence the allocation decisions. The Portfolio/ Investment Team will need to assess RBI monetary policy, various global and domestic lead/lag economic indicators, inflation trends, and foreign central bank policies and evaluate their impact as the Portfolio/ Investment Team determines the asset allocation between equity/ debt / money markets / gold asset classes to optimize the allocation.

After determining the optimal asset allocation, the Portfolio/ Investment Team determines the allocation to specific equity, debt / money markets and gold instruments within the asset allocation. The allocations would be regularly reviewed, and necessary portfolio changes would be carried out based on the analysis suggested by various influencing factors.

For investments in equity and equity related securities, the Scheme would predominantly invest in securities of Nifty 50 Index. The Portfolio / Investment Team while investing in other securities in addition to Nifty 50 Stocks will follow the following fundamental and governance criteria amongst others:

- a) Sound Management
- b) Robust Business Model
- c) Good track record of the company
- d) Potential for future growth
- e) Industry and economic scenario

The scheme will follow a combination of top down and bottom-up approach to stock-picking and choose companies across sectors which have the potential to provide growth at reasonable valuations.

For investments in Debt Securities, the scheme will predominantly invest in sovereign and PSU debt securities to ensure that the portfolio has better liquidity and is of relatively high credit quality. The debt allocation will be actively managed, and the Fund Manager and Investment team will take an active view of the interest rate movement by keeping a close watch on various parameters of the Indian economy as well as developments in global markets. Thus, if the Fund Manager and the Investment Team believe that long term interest rates are going to rise, the Scheme can move to instruments which have low maturity and thus low duration and help protect the Scheme's performance. Conversely, if the Fund Manager and Investment Team believe that long term interest rates are going to fall, the Scheme can invest in longer tenor instruments and thus benefit out of the larger rise in prices of longer tenor bonds.

For investments in Gold Related instruments, the scheme will predominantly invest in units of Quantum Gold Fund - ETF. In addition, the Scheme could invest in Electronic Gold Receipts as and when permitted under the SEBI Regulations.

## Risk Profile of the Scheme

Mutual Fund Units involve investment risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment. Scheme specific Risk Factors are summarized below:

### Risks associated with investments in Equity and Equity related instruments

- Equity instruments carry both company specific and market risks and hence no assurance of returns can be made for these investments. The investor could lose money over short periods due to fluctuation in the Scheme's NAV in response to factors such as economic and political developments, changes in interest rates and perceived trends in stock prices market movements, and over longer periods during market downturns.

Some of the specific risk factors related to the Scheme include, but are not limited to the following:

- **Market Risk:** Equity shares and equity related instruments are volatile and prone to price fluctuations on a daily basis. Hence, the value of the Equity and Equity Related investments may go down and an investor may not get back the amount invested.
- **Liquidity Risk:** The liquidity of investments made in the Scheme may be restricted by trading volumes and settlement periods. Settlement periods may be extended significantly by unforeseen circumstances. The inability of the Scheme to make intended securities purchases, due to settlement problems, could cause the Scheme to miss certain investment opportunities. Similarly, the inability to sell securities held in the Scheme portfolio would result at times, in potential losses to the Scheme, should there be a subsequent decline in the value of securities held in the Scheme portfolio.
- **Corporate Governance Risk:** We avoid investing in companies with inferior corporate governance. However, post our investment if poor corporate governance were to manifest in any way such as siphoning of cash, unethical business practices, manipulation of share price, etc. then it can impact the value of our investment.

#### Risk Related to Debt & Money Market Instruments

- **Interest Rate Risk/Market Risk:**

Changes in interest rate may affect the Scheme's net asset value. Generally, the prices of instruments increase as interest rates decline and decrease as interest rates rise. Prices of long-term securities fluctuate more in response to such interest rate changes than short-term securities. Indian debt and government securities markets can be volatile leading to the possibility of price movements up or down in the fixed income securities and thereby to possible movements in the NAV.

- **Credit Risk or Default Risk:**

Credit risk or Default risk refers to the risk that an issuer of a debt instrument may default (i.e. the issuer will be unable to make timely principal and interest payments on the security). Because of this risk, bonds issued by non-government agencies are sold at a higher yield above those offered on Government Securities which are sovereign obligations and free of credit risk. Normally, the value of a debt instrument will fluctuate depending upon the changes in the perceived level of credit risk as well as any actual event of default. The greater the credit risk, the greater the yield required for someone to be compensated for the increased risk.

#### Risks associated with investments in Gold Instruments

Quantum Gold Fund (QGF) The underlying 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.

For details on risk factors and risk mitigation measures, please refer SID.

## Plans/Options

#### Plans available under the Scheme:

- Direct Plan
- Regular Plan

#### Options under each Plan(s):

- Growth Option

The income attributable to Units under Growth Option will continue to remain invested and will be reflected in the Net Asset Value of Units under Growth Option.

Investor should indicate the Direct / Regular Plan for which the subscription is made by indicating the choice in the application form. In case of valid application received without indicating any choice of plan then the application will be processed for plan as under:

Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured
1	Not mentioned	Not mentioned	Direct Plan
2	Not mentioned	Direct	Direct Plan
3	Not mentioned	Regular	Direct Plan
4	Mentioned	Direct	Direct Plan
5	Direct	Not Mentioned	Direct Plan
6	Direct	Regular	Direct Plan
7	Mentioned	Regular	Regular Plan
8	Mentioned	Not Mentioned	Regular Plan

In cases of wrong /invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar Days, the AMC shall reprocess the transaction under Direct Plan from the date of application. In case an investor submits an application with ARN number which is valid but the broker/distributor is not empaneled with the AMC, the transaction will be processed under "Direct Plan" or in the manner notified by SEBI / AMFI from time to time.

All Purchase / Switch requests (including under fresh registrations of Systematic Investment Plan (SIP) /

Systematic Transfer Plan (STP) or under SIPs/ STPs registered prior to the suspension period).The financial transactions of an investor where his distributor's AMFI Registration Number (ARN) has been suspended temporarily r terminated permanently received during the suspension period shall be processed under "Direct Plan" and continue to be processed under "Direct Plan" perpetually unless after suspension of ARN is revoked, unitholder makes a written request to process the future installments / investments under "Regular Plan". Any financial transactions requests received through the stock exchange platform, from any distributor whose ARN has been suspended, shall be rejected.

#### Applicable NAV

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

- 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;
- 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 same day or before the cut-off time of the next business day i.e. funds are available for utilization before the cut-off time of next Business Day- the closing NAV of the next Business Day shall be applicable;
- 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. funds are available for utilization before the cut-off time of subsequent Business Day - the closing NAV of such subsequent Business Day shall be applicable;

It may be noted that in case of Systematic Investment Plan (SIP)/ Systematic Transfer Plan (STP), the units will be allotted based on the funds available for utilization by the respective scheme, irrespective of the installment date of the SIP/STP.

#### REDEMPTIONS INCLUDING SWITCH-OUTS:

- In respect of valid applications received up to 3 p.m. on a Business Day, the closing NAV of the day of receipt of application shall be applicable.
- In respect of valid applications received after 3 p.m. on a Business Day, the closing NAV of the next Business Day shall be applicable.

#### Minimum Application Amount/ Number of Units

Purchase	Additional Purchase	Redemption
₹500/- & in multiples of Re. 1/- thereafter	₹500/- & in multiples of Re. 1/- thereafter/50 Units	NIL

#### Despatch of Redemption Request

The redemption or repurchase proceeds shall be dispatched / transferred to the unitholders within three working days from the date of receipt of valid redemption or repurchase request.

Further, as per Clause 14.13 of SEBI Master Circular for Mutual Funds dated June 27, 2024, in case of exceptional circumstances, additional timelines as prescribed by SEBI/AMFI will be applicable for transfer of redemption or repurchase proceeds to the unitholders. List of exceptional circumstances along with the applicable timeframe for transfer of such proceeds is available on AMFI website.

#### Benchmark Index

Tier I Benchmark: NIFTY 50 TRI (40%) + CRISIL Short Duration Debt A-II Index (45%) + Domestic Price of Gold (15%)

#### Dividend/IDCW Policy

Not Available

#### Name of the Fund Manager

Mr. Chirag Mehta (Fund Manager - Equity & Gold): Managing since March 07, 2024 (1 year and 6 months)  
Ms. Sneha Pandey (Fund Manager - Fixed Income): Managing since April 01, 2025 (6 months)  
Ms. Mansi Vasa (Associate Fund Manager - Equity): Managing since April 01, 2025 (6 months)

#### Name of the Trustee Company

Quantum Trustee Company Private Ltd.

#### Performance of the scheme as on September 30, 2025

#### Quantum Multi Asset Allocation Fund - Direct Plan - Growth Option

Period	Scheme Returns %	Tier – I Benchmark Returns % (NIFTY 50 TRI (40%) + CRISIL Short Duration Debt A-II Index (45%) + Domestic Price of Gold (15%))
Since Inception	11.98%	13.06%
1 year	6.70%	9.33%

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

Returns greater than one year are compounded annualized (CAGR). Date of Inception - March 07, 2024.

Quantum Multi Asset Allocation Fund - Regular Plan – Growth Option

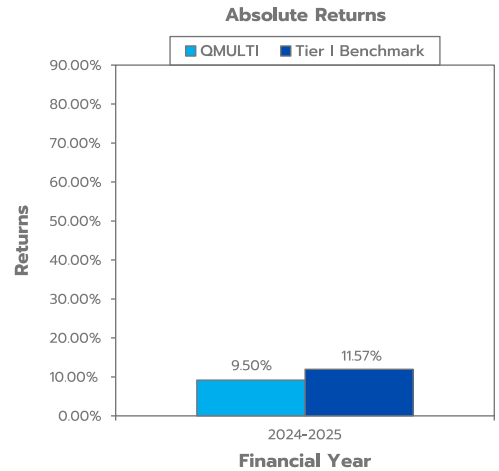
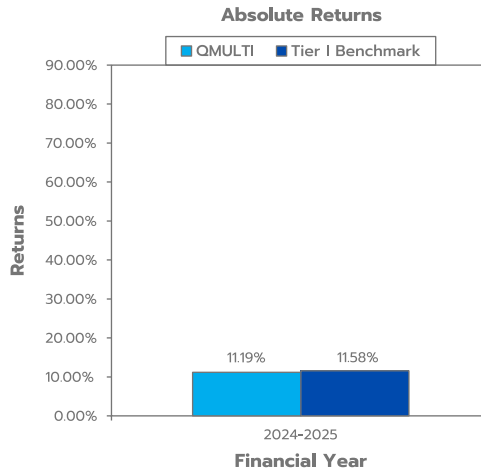
Period	Scheme Returns %	Tier – I Benchmark Returns % (NIFTY 50 TRI (40%) + CRISIL Short Duration Debt A-II Index (45%) + Domestic Price of Gold (15%))
Since Inception	10.18%	13.06%
1 year	4.96%	9.33%

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

Returns greater than one year are compounded annualized (CAGR). Date of Inception - March 07, 2024.

Absolute Returns for the last 5 Financial Years  
Quantum Multi Asset Allocation Fund - Direct Plan - Growth Option

Absolute Returns for the last 5 Financial Years  
Quantum Multi Asset Allocation Fund - Regular Plan - Growth Option



Date of Inception: March 07, 2024  
Past performance may or may not be sustained in the future

Date of Inception: March 07, 2024  
Past performance may or may not be sustained in the future

Additional Scheme Related Disclosures

- Scheme's Portfolio Holdings as on September 30, 2025 – [https://www.quantumamc.com/FileCDN/Pdf/Top\\_10\\_holding\\_and\\_Fund\\_allocation.xlsx](https://www.quantumamc.com/FileCDN/Pdf/Top_10_holding_and_Fund_allocation.xlsx)
- Disclosure of name and exposure to top 7 issuers, stocks, groups and sectors as a percentage of NAV of the Scheme in case of debt and equity ETFs/Index funds through a functional website link that contains detailed description – Not Applicable
- Scheme's Portfolio Turnover Ratio:
  - Equity Portfolio Turnover Ratio (Last one year) - 0.96%
  - Total Portfolio Turnover Ratio (Last one year) (Total Portfolio = Equity+Debt+ETF) - 137.56%

Expenses of the Scheme Load Structure

Continuous Offer

Type of Load	Load chargeable (as % of NAV)
Exit Load/ Switch Out Load:	
If redeemed or switch out on or before 90 days from the date of allotment of units.	1.00%
If redeemed or switch out after 90 days from the date of allotment of units.	NIL

Recurring expenses

The AMC has estimated that upto 2.25% of the daily net asset of the scheme will be charged as the expense ratio to the Scheme as permitted under Regulation 52 of SEBI (Mutual Funds) Regulations, 1996. The Fund will disclose the Total Expense Ratio (TER) of the Scheme on a daily basis on the website of the AMC ([www.QuantumAMC.com](http://www.QuantumAMC.com)) and of AMFI ([www.amfindia.com](http://www.amfindia.com)). Any change in the base TER charged to any scheme/plan will be communicated to investors of the scheme/plan through notice via email or SMS at least three working days prior to effecting such change. Investors can refer the aforesaid notice on the AMC website at the link: <https://www.quantumamc.com/total-expense-ratio>

As per Regulation 52(6)(c) of SEBI (MF) Regulations, the total expenses of the Scheme, including Investment Management and Advisory Fees shall be subject to following limits as specified below:

Asset Under Management Slab	Total Expense Ratio % limits
On the first ₹500 Crores of the daily net assets	2.25
On the next ₹250 Crores of the daily net assets	2.00
On the next ₹1,250 Crores of the daily net assets	1.75
On the next ₹3,000 Crores of the daily net assets	1.60
On the next ₹5,000 Crores of the daily net assets	1.50
On the next ₹40,000 Crores of the daily net assets	Total expense ratio reduction of 0.05% for every increase of ₹5,000 Crores of daily net assets or part thereof
On balance of the assets	1.05

The maximum limit of recurring expenses that can be charged to the Scheme would be as per Regulation 52 of the SEBI (MF) Regulation, 1996. Investors are requested to read "Section- Annual Scheme Recurring Expenses" in the SID.

Actual expenses for the financial year 2024-25:

**Direct Plan – ₹5,86,862/- (0.37%)**  
**Regular Plan – ₹22,00,980/- (1.97%)**

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

Investor will be advised to refer to the details in the Statement of Additional Information and also independently refer to his 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.QuantumAMC.com](http://www.QuantumAMC.com)) and on the website of Association of Mutual Funds in India [www.amfiindia.com](http://www.amfiindia.com) by 11.00 P.M. every business day.

#### For Investor Grievances please contact

<b>Name and Address of Registrar</b> Registrars & Transfer Agent:  <b>KFin Technologies Limited Unit:</b> Quantum Mutual Fund, Selenium Tower B, Plot number 31 & 32, Financial District, Nanakramguda Serilingampally Mandal, Hyderabad - 500032, Phone: +91 - 040-23312454	Investor may contact Quantum AMC for any Queries / Clarifications / Complaints at Email - <a href="mailto:CustomerCare@QuantumAMC.com">CustomerCare@QuantumAMC.com</a> , Telephone number – 1800-209-3863 / 1800-22 -3863 (Toll Free).  <b>Mr. Mayur Jadhav</b> - Investor Relation Officer (IRO) can be contacted at <b>Quantum Asset Management Company Private Limited</b> , 1st Floor, Apeejay House, 3 Dinshaw Vachha Road, Churchgate, Mumbai - 400020, Telephone Number 022-61447800, Email - <a href="mailto:IRO@Quantumamc.com">IRO@Quantumamc.com</a>  For any grievances with respect to transactions through Stock Exchange Platform for Mutual Funds, the investors should approach either the stockbroker or the investor grievance cell of the respective stock exchange.  For further details / escalation please refer the Grievance Policy available on the AMC Website <a href="https://www.quantumamc.com/downloads/pdfs/grievance_report.pdf">https://www.quantumamc.com/downloads/pdfs/grievance_report.pdf</a>
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#### Unitholders' Information

##### (I) Account Statement/Allotment Confirmation:

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

For Folios covered in Consolidated Account Statement (CAS) the Depository shall send CAS investors that have opted for delivery via electronic mode, within 12 days from the month end and to investors that have opted for delivery via physical mode, within 15 days from the month end. For Folio not covered in CAS, the AMC / Registrar shall send the Account Statement within 15 days from the end of the month.

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

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

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

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

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

##### (II) Portfolio Disclosures

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

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

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

### **(III) Half – Yearly Financial Results**

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

### **(IV) 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.

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.

**Dated: November 27, 2025.**

## INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM

### 1. Product Labeling

#### QUANTUM MULTI ASSET ALLOCATION FUND

(An Open-Ended Scheme Investing in Equity & Equity Related Instruments, Debt & Money Market Instruments and Gold Related Instruments)

This product is suitable for investors who are seeking\*

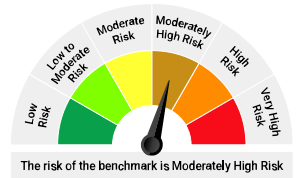
- Long term capital appreciation and current income
- Investment in a Diversified Portfolio of Equity & Equity Related Instruments, Debt & Money Market Instruments and Gold Related Instruments

**Tier I Benchmark: NIFTY 50 TRI (40%) + CRISIL Short Duration Debt A-II Index (45%) + Domestic Price of Gold (15%)**

#### RISK-O-METER OF SCHEME



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



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

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

### 2. General Instructions

- a) Please read the Key Information Memorandum, Scheme Information Document (SID) of the respective scheme(s) and Statement of Additional Information (SAI) containing the terms of offer carefully before investing.
- b) Please Tick (✓) in the appropriate box (☐), where boxes have been provided.
- c) Application Form should be filled legibly in ENGLISH in BLOCK letters using Black or Dark Blue ink. Incomplete application forms are liable to be rejected. Please refer to the checklist at the end of the application form to ensure that the requisite details and documents have been provided in order to avoid unnecessary delays and / or rejection of your application.
- d) Please strike out any section that is not applicable. Correction/Cancellation on any of the information should be countersigned by the investor.
- e) All applicants are deemed to have accepted the terms subject to which the offer is being made and bind themselves to the terms upon signing the Application Form and tendering the payment.
- f) In case of applications under Power of Attorney or by a Limited Company or by a Corporate Body or Eligible Institution or a Registered Society or a Trust or a Fund the original Power of Attorney or the certified copy thereof duly notarised and the relevant resolution or authority to make the application, as the case may be including authority granted in favour of the officials signing the application and their specimen signature etc., or duly certified copy thereof alongwith a certified copy of the Memorandum and Articles of Association and/or bye-laws and/or trust deed and/or partnership deed and certificate of registration must be lodged at the office of the Registrar, quoting the serial number of application simultaneously with the submission of the Application Form, failing which the application is liable to be rejected.
- g) All communications and payments will be made to the sole/first applicant.
- h) While processing the redemption/switch out request in case Quantum AMC/Registrar come across a signature mismatch, then Quantum AMC/Registrar reserves the right to process the redemption/switch only on the basis of supporting documents confirming the identity of the investors. List of such documents would be notified by Quantum AMC from time to time.
- i) Investors who wish to make Systematic Investment Plan (SIP) will need to complete and submit the Application Form along with the SIP Application Form.
- j) Quantum Mutual Fund does not levy any transaction charges to pay to the distributors.
- k) Direct Plan: An investor who has made the investment directly from the Mutual Fund or through RIA (mentioned RIA code) needs to select the Plan as 'Direct'.
- Regular Plan: Any investment made through a distributor by mentioning valid distributor details, need to select the Plan as 'Regular'. The AMC will be paying commission to the distributor for such transactions.
- Investors are requested to note that, under the Income Distribution cum Capital Withdrawal Option/ Facility, the amounts can be distributed out of investors capital (Equalization Reserve), which is part of sale price that represents realized gains.

### 3. Existing Unitholder Information

An existing investor should mention the correct Folio Number & go directly to Section (Investment 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 Investments). Accordingly it is mandatory for investor's to provide their PAN along with self-attested copy of PAN Card while making an application for Purchase of Units. In case of joint holding, PAN details of all holders should be submitted. In case the application is on behalf of minor /PoA holder, PAN details of the Guardian/ PoA holder must be submitted. PAN is not mandatory in the case of applicant resident in the State of Sikkim, Central Government, State Government entities and the officials appointed by the courts e.g. Official liquidator, Court receiver etc (under the category of Government); however sufficient documentary evidence shall have to be submitted for verifying that they are residents of the State of Sikkim. Applications without the aforesaid details are liable to be rejected without any reference to the investors. The PAN Exempt KYC Registration Number (PEKRN) needs to be provided in case of PAN exempt cases.

### 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 Investments 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.QuantumAMC.com](http://www.QuantumAMC.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.

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 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, etc. should be given by Investor directly to KRA in the prescribed Change request form quoting PAN number. Quantum AMC reserves the right to call for any additional information from the investors/ applicant/ reject applications/subsequent application in order to fulfill the requirements of PMLA norms prescribed by SEBI/PMLA Regulations from time to time.

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

## 5. Employee Unique Identification Number (EUIIN)

Investor investing through Intermediary shall mandatorily mention the EUIIN on the application form, irrespective whether he/she has been advised by Sales person/ Employee/ Relationship manager of the Intermediary or not. However, in case of any exception cases, where there is no interaction by Sales person / Employee / Relationship manager of the intermediary with respect to the investment / transaction, the EUIIN box may be left blank. If left blank, However, in case of any exceptional cases where there is no interaction by the employee/sales person/ relationship manager of the distributor/sub broker with respect to the transaction, investors are required to provide a duly signed declaration to this effect, as given in the Form.

It is mandatory to obtain EUIIN for every Sales person / Employee / Relationship manager of the Intermediary for dealing (irrespective whether transactions are in the nature of execution or advisory) in mutual fund products. EUIIN will assist in tackling the problem of mis-selling even if the employee/relationship manager/ sales person leaves the employment of the ARN holder / sub broker.

## 6. Applicant Information

- a. Name should be given in full without any abbreviations. Preferably write exactly as it appears in your Bank Account & KYC records or as it appears in the incorporation document or demat account as the case may be.
- b. Name, Date of birth of the Minor, Name of Parent/Guardian and relationship with minor is mandatory for investment on behalf of a Minor applicant, proof of date of birth and relationship proof is mandatory.
- c. Name of the Contact Person, email and Telephone no. should be mentioned in case of investments by Company, Body Corporate, Trust, Society, FII and other non-individual applicants.
- d. The signature should be in English or in any of the Indian languages. Thumb Impressions must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal. Application by minor should be signed by the guardian. In case of H. U. F., the Karta should sign on behalf of the H. U. F.
- e. The designated Investor Service Center/ Official Point of Acceptance will affix time stamp/manual stamp and return the acknowledgement slip from the application form, to acknowledge receipt of the application. No separate receipt will be issued for the application money.
- f. Please fill in all the fields to prevent rejection of your Application Form. Please refer to the checklist provided at the end of the Application Form to ensure that the necessary details and attachments are made available. The application complete in all respects along with the cheque/ fund transfer instructions must be submitted to the nearest designated Investor Service Center. Official Points of Acceptance Applications which are incomplete, invalid in any respect or not accompanied by cheque or fund transfer instructions for the amount payable are liable to be rejected.
- g. Investors must write the Application Form number / Folio number on the reverse of the cheques accompanying the Application Form.
- h. Name and address must be given in full (P.O. Box Address alone is not sufficient). In case of NRIs/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. <https://thenationaltrust.gov.in/upload/uploadfiles/files/Persons%20with%20Disability%20Act%201995.pdf>
- j. Some additional details are required for validating and identifying 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. Investments shall be accepted from the bank account of the minor, parent or legal guardian of the minor, or from a joint account of the minor with parent or legal guardian. For existing folios needs to Change of Pay-out Bank mandate before redemption is processed. Irrespective of the source of payment for subscription, all redemption proceeds shall be credited only in the verified bank account of the minor, i.e. the account the minor may hold with the parent/ legal guardian after completing all KYC formalities.
- n. Date of birth of the minor along with photocopy of supporting documents as enumerated below shall be mandatory while opening the account on behalf of minor:
  - 1. Birth certificate of the minor, or 2. School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or 3. Passport of the minor, or 4. Any other suitable proof evidencing the date of birth of the minor.
- o. Guardian in the folio on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian.
- p. If guardian is a legal guardian then a court order duly notarized copy is to be attached along with the application.

#### 7. Power Of Attorney

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

#### 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, and Folio Consolidation. Investor can also map offline folio online using a PIN. It can be also generated online through our website, in case investor 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 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 need to tick on the box accordingly.

#### 10. Bank Account Details

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

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

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

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

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

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) is to be mandatorily given.

Based on the above information AMC will enable secure transfer of 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 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, 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. Quantum Mutual Fund shall not accept applications for subscriptions with third party payment instruments.
2. Investors may make payment by single Cheque 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.
5. The cheque should be drawn in favor of "Quantum Mutual Fund A/c PAN (number)" or Quantum\_(Scheme name) A/c 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.
10. **If paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS etc.:** Investors should attach to the purchase application form, an acknowledged copy of the instruction to the bank also stating the account number debited. The account number mentioned on the transfer instruction copy should be a registered bank account or the first named applicant/investor should be one of the account holders to the bank account. debited for such electronic transfer of funds.

11. **On Repatriation Basis:** In the case of NRIs including PIOs, payment may be made either by inward remittance through normal banking channels or out of funds held in his Non - Resident (External) Rupee Account (NRE) Foreign Currency (Non- Resident) Account (FCNR). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts an account debit certificate from the Bank issuing the draft confirming the debit shall also be enclosed. FIs 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 FI with a designated branch of an authorized dealer in accordance with the relevant exchange management regulations.

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

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

Please note the Quantum Mutual Fund account details for the RTGS / NEFT:(Other Bank Investors)

Bank Name	HDFC Bank
Bank A/c Type	Current A/C
Beneficiary Account Number (QUANTUM and PAN Details)	QUANTUMABCDE1234F
Beneficiary Name	QUANTUM MUTUAL FUND
Branch Address	Sandoz Branch
IFSC Code	HDFC0000240

- ii. After completing the fund transfer through RTGS / NEFT mode, the investor needs to mention the payment reference number under the section 'Payment Details' in the main application form.
  - iii. Enclose the fund transfer proof alongwith the application form.
13. Please register additional banks through which investor want to invest by filling and submitting Multiple Bank Mandate along with supporting documents

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

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

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

## 12. Nomination Details

- Nomination is mandatory for all the folios/accounts, where the mode of holding is single, or the folio/account is opened by individual without any joint holding. New subscriptions received from individuals without nomination will be rejected. In case investor do not wish to nominate they need to submit "Nomination opt-out form".
- The requirement of nomination shall be optional for jointly held accounts / folios.
- Non-individuals including a Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu undivided family, a Power of Attorney holder and/or Guardian of Minor unitholder cannot nominate. The Nominee should be only individual investors.
- Nomination is not allowed in a folio of a Minor unitholder.
- Investor can make nomination or change nominee any number of times without any restriction.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio account. i.e. - 'Either or Survivor' Folios / Accounts - any one of the holders can sign - 'Jointly' Folios / Accounts - both holders have to sign.
- 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 Unitholder (optional). The guardian should be a person other than the Unitholder.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository incase of Demat account.
- A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
- Multiple Nominees: Nomination can be made in favour of multiple nominees, subject to a maximum of THREE nominees. In case of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals, adding upto a total of 100%. If the total percentage of allocation amongst multiple nominees does not add upto 100%, we shall apportionment the assets equally among all the nominees.
- In case of fresh nominee registrations, existing nominee details will be overwritten across the schemes under the folio.
- Nomination made by a unit holder shall be applicable for units held in all the schemes under the respective folio / account.
- Nomination shall stand rescinded upon the transfer of units.
- Death of Nominee/s: In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, then the assets shall be distributed to the surviving nominees on pro rata basis upon demise of the investor, as illustrated in below the table.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
<b>Total</b>	<b>100%</b>	<b>-</b>	<b>40%</b>	<b>60%</b>	<b>100%</b>

15. Legal heir(s) of nominee shall not be eligible to inherit the assets of the investor, if the nominee predeceases the investor.
16. Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/ Mutual Fund / Trustees against the legal heir(s).
17. The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC.
18. In respect of folios/accounts where the Nomination has been registered, AMC shall transmit the assets in the account / folio to the registered nominee(s) for effecting its due discharge. In absence of nomination, AMC shall transmit the assets in the account / folio to either; the legal heir(s) or legal representative(s) of the youngest of the joint holders as per the rules of intestate succession or as per the Will of the latter, as the case may be, after following the prescribed procedure.
19. In case of accounts / folio held by Hindu Undivided Family (HUF), upon the death of the Karta as recorded, the new Karta as constituted under applicable law, would be entitled to operate such an account/folio. In the absence of new Karta, the regulated entity shall effect transmission of account / folio as per dissolution deed and other criteria defined by the respective SRO / industry body in consultation with the SEBI.
20. The nominee(s) shall receive the assets of deceased sole account / sole holder(s) as trustee on behalf of legal heir(s) of deceased holder(s) thereby effecting due discharge of concerned regulated entity
21. For displaying the nominee details in SOA, the investor can either opt to display the name(s) of the nominee(s) or confirm whether the nomination has been made by the investor – Yes/No. If neither option is selected, the default display mode will be set to Yes/No.
22. Investors shall mandatorily provide the following.
  - a) any one of the following personal identifiers of the nominee – PAN or Driving Licence number or last 4 digits of Aadhaar (only the document number is required to be provided; not the document) or Passport Number
  - b) full contact details of nominee(s) such residential address, e-mail address, telephone / mobile number
  - c) relationship of nominee(s) with the investor
  - d) Date of birth of nominee(s) (if nominee is a minor)

### 13. Demat Account

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

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

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

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

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

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

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

#### 15. FATCA and CRS Details

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

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

#### 16. SIP TOP-UP

It is a facility wherein an investor who is enrolling for SIP has an option to increase the amount of the SIP installment by a fixed amount at predefined intervals. Thus, an investor can progressively start increasing the amount invested, allowing him/her to gradually increase the investment corpus in a hassle-free manner. The silent features of the said facility are as follows:

- SIP TOP-UP facility is available in Monthly and Quarterly frequency only.
- Investor can TOP-UP the SIP an amount in fixed intervals with minimum amount of Rs 100/- in multiple of Re.1. For Quantum ELSS Tax Saver Fund Top Up minimum and in multiples of Rs. 500/ only.
- At presently, SIP Top- UP facility is applicable to an Investor who is enrolling for a new SIP.
- The investor can choose a frequency for the Top Up depending on the SIP frequency being opted. In case of a Monthly SIP, the investor can choose either a 'Half-yearly' or 'Annual' based Top-up frequency; in case of a Quarterly SIP, the top-up is available 'Annual' frequency only. In case SIP Top-Up frequency is not mentioned, the default frequency will be considered as 'Annual' for both monthly and Quarterly SIP.
- Investor shall have flexibility to choose either Top-Up Cap on **Amount or Period** (month- year). In case of multiple selection, Top-Up Cap amount will be considered as default selection.
- Investor opted to freeze the SIP top up amount once it reaches a fixed predefined amount. Once the SIP amount was reached freezing amount, the same amount will be considered as SIP instalment amount till the end of the SIP tenure. The fixed pre-defined amount should be same as the maximum amount mentioned by the investor in the bank mandate in case of difference between the Cap amount & the maximum amount mentioned on bank mandate, then amount which is lower of the two amounts shall be considered as the default amount of SIP Cap amount.
- Investor opted to freeze the SIP top up tenure once it reaches the said period, SIP TOP-UP will be stopped, and SIP amount will be considered as SIP instalment amount till the end of the SIP tenure. The fixed pre-defined period should be same as the end of the period of the mentioned by the investor in the bank mandate in case of difference between the end date and Cap period & the maximum period mentioned on bank mandate, then end date will be the earlier of the two dates.
- In case of no selection, TOP-UP freeze date or Cap amount not selected, then as a default amount of 10 Lakhs will be considered as Cap amount. Under the said facility, SIP amount will remain constant from Top - Up Cap date/ amount till the end of SIP Tenure.
- The Top-up details cannot be modified once enrolled. In order to make any changes, the investor must cancel the existing SIP and enrol for a fresh SIP with Top-up option.
- For further details and Forms, investors are requested to refer our website ([www.QuantumAMC.com](http://www.QuantumAMC.com)) or visit nearest collection centre of our Registrar viz. KFin Technologies Limited

# COMMON APPLICATION FORM

(Continuous Offer of units at Applicable NAV)

Quantum Mutual Fund - 1st floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay  
Reclamation, Churchgate, Mumbai - 400 020 | www.QuantumAMC.com

Check Your KYC Status



## 1. Intermediary Information

Name & ARN Code	Sub - Broker Code	Employee Unique Identification No. (EUIIN)	RIA Code/EOP Code	E-Code / RM Code
ARN -	ARN -	E		

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

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

## 2. Existing Unit Holder Information (Please note that Applicant details & mode of holding will be as per existing Folio Number)

Folio No.  Name of 1<sup>st</sup> Applicant

3.	*PAN/PEKRN	Date of Birth (Mandatory)	CKYC Details (KIN Number, if any)
1 <sup>st</sup> Applicant/Minor	<input type="text"/>	<input type="text"/>	<input type="text"/>
2 <sup>nd</sup> Applicant	<input type="text"/>	<input type="text"/>	<input type="text"/>
3 <sup>rd</sup> Applicant	<input type="text"/>	<input type="text"/>	<input type="text"/>
Guardian/POA	<input type="text"/>	<input type="text"/>	<input type="text"/>

## 4. \*Applicant Information (To Be Filled In Block Letters)

MODE OF HOLDING (Please tick ✓)  SINGLE  JOINT  ANY ONE OR SURVIVOR(S) (Default option)

NAME OF SOLE/ 1<sup>st</sup> APPLICANT  Mr. Ms. M/s.

GENDER  Male  Female  Others

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

Mr. Ms. M/s.

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

RELATIONSHIP PROOF (With specified Guardian)  Birth Certificate  Passport  Other \_\_\_\_\_

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

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

LEI code  valid up to

Legal Entity Identifier Number is Mandatory for transaction value of INR 50 crore and above for non-Individual investors.

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

CITY  STATE  COUNTRY  PIN CODE

Contact Details of Sole/1<sup>st</sup> Applicant Mobile No.  Email ID

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

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

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

CITY  COUNTRY  ZIP CODE

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

NAME OF THE 2<sup>ND</sup> APPLICANT  Mr. Ms. M/s.

Mobile No.  Email ID

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

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

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

Quantum Mutual Fund - 1<sup>st</sup> Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400020. www.QuantumAMC.com

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

An application for purchase units of Scheme of Quantum Mutual Fund

Date

Scheme and cheque details overleaf. Cheques are subject to realisation.

Collection Center's Stamp &  
Receipt Date and Time

**NAME OF THE 3<sup>RD</sup> APPLICANT** | Mr. Ms. M/s

**Mobile No.** | **Email ID** |

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

**5. Tax Status (Applicable For First/Sole Applicant)**

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

**Additional Kyc Details**

Occupation	Professional	Agriculturist	Housewife	Retired	Government Service/ Public Sector	Business	Forex Dealer	Student	Private Sector Service	Others
1 <sup>st</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
2 <sup>nd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
3 <sup>rd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
Guardian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____

Gross Annual Income Details	Below 1 Lac	1-5 Lacs	5-10 Lacs	10-25 Lacs	25 Lacs-1 Crore	>1 Crore	Net-worth in Rs.	Date
1 <sup>st</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(Net worth should	<input type="text" value="DDMMYYYY"/>
2 <sup>nd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	not be older	<input type="text" value="DDMMYYYY"/>
3 <sup>rd</sup> Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	than 1 year)	<input type="text" value="DDMMYYYY"/>
Guardian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="text" value="DDMMYYYY"/>

PEP Details	1 <sup>st</sup> Applicant	2 <sup>nd</sup> Applicant	3 <sup>rd</sup> Applicant	Guardian
Are you a Politically Exposed Person (PEP)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you related to a Politically Exposed Person (PEP)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

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

Is the company a Listed Company or Subsidiary of Listed Company or Controlled by a Listed Company:  Yes  No (if No, Mandatory to provide the UBO declaration)  
 Yes  No **Foreign Exchange/Money Charger Services**  Yes  No **Gaming/Gambling/Lottery/Casino Services**  Yes  No **Money Lending/Pawning**

NPO DECLARATION (Mandatory for Trust and Society) - For NPO declaration kindly visit our website

**6. Power Of Attorney (POA)**

**POA Name** | Mr./Ms.

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

**7. \*Bank Account Details**

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

Bank Name | IFSC | MICR Code |  
 Account No | Branch | City | Pin Code |

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

**8. \*Investment Details / Payment Details**

Sr. No.	Scheme Name	Plan	Option	Sub Option	Amount
1.					
2.					
3.					
Mode of Payment <input type="checkbox"/> RTGS/NEFT <input type="checkbox"/> Cheque <input type="checkbox"/> Fund Transfer <input type="checkbox"/> Cash					Total
Date of NEFT/RTGS/Cheque/ Fund Transfer/Cash Deposit		Amount of NEFT/RTGS/Cheque/ Fund Transfer/Cash Deposit		Drawn on Bank & Branch	
Bank Account No. (NEFT/RTGS/Cheque)					

In case of multiple Schemes, mention "Quantum Mutual Fund - Collection Account" on the payment instrument.

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

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

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

**ACKNOWLEDGEMENT SLIP (To be continued)**

Quantum Mutual Fund - 1<sup>st</sup> Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400020. www.QuantumAMC.com

**Investment Details / Payment Details**

Sr. No.	Scheme Name	Plan	Option/ Sub Option	Cheque No.	Amount
1.					
2.					
3.					
Total					

**9. Fatca And Crs Details For Individuals (Including Sole Proprietor) (Mandatory)** The Below information is required for all applicants/guardian

Category	1st Applicant	2nd Applicant	3rd Applicant
Place/City of Birth			
Country of Birth	<input type="checkbox"/> INDIA /		
Country of Citizenship/Nationality	<input type="checkbox"/> INDIAN /		
Is your Tax Residency/Country of Birth/ Citizenship/Nationality other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

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

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

10. *Nomination Details	1st Nominee	2nd Nominee	3rd Nominee
Name of the Nominee(s)* (as in PAN card/KYC records)			
Date of Birth			
Relationship with Investor*	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Sister <input type="checkbox"/> Daughter <input type="checkbox"/> Brother <input type="checkbox"/> Husband <input type="checkbox"/> Wife <input type="checkbox"/> Son <input type="checkbox"/> Spouse Other _____	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Sister <input type="checkbox"/> Daughter <input type="checkbox"/> Brother <input type="checkbox"/> Husband <input type="checkbox"/> Wife <input type="checkbox"/> Son <input type="checkbox"/> Spouse Other _____	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Sister <input type="checkbox"/> Daughter <input type="checkbox"/> Brother <input type="checkbox"/> Husband <input type="checkbox"/> Wife <input type="checkbox"/> Son <input type="checkbox"/> Spouse Other _____
POI Document/Number*	<input type="checkbox"/> PAN _____ <input type="checkbox"/> Driving Licence _____ <input type="checkbox"/> AADHAR (last 4) _____ <input type="checkbox"/> Passport _____	<input type="checkbox"/> PAN _____ <input type="checkbox"/> Driving Licence _____ <input type="checkbox"/> AADHAR (last 4) _____ <input type="checkbox"/> Passport _____	<input type="checkbox"/> PAN _____ <input type="checkbox"/> Driving Licence _____ <input type="checkbox"/> AADHAR (last 4) _____ <input type="checkbox"/> Passport _____
Address*			
Guardian Name (in case Nominee is a Minor)			
Share of Nominee Allocation % (Total to be 100%)*			
Mobile / Telephone no. of Nominee(s) / Guardian in case of minor*			
Email Id of Nominee(s) / Guardian in case of minor*			

\*Mandatory to provide in case of nomination

I / We want the details of my / our nominee to be printed in the statement of holding, provided to me/ us by the AMC / DP as follows;  
(please tick, as appropriate)  Name of nominee(s)  Nomination: Yes/No.

**OR** I do not wish to Nominate

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio.

11. Demat Account Details (Please ✓)	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	Enclose: <input type="checkbox"/> Client Master List <input type="checkbox"/> Transaction/Holding Statement <input type="checkbox"/> DIS Copy
--------------------------------------	---	---

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

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

NSDL   IN	Beneficiary A/c No. (NSDL Only)	CDSL
-----------	---------------------------------	------

12. Physical Copy	<input type="checkbox"/> Opt In to receive the physical copy of Annual Report/Statement of Account (SOA)
-------------------	--

**Declaration and Signature(s)**

I/We read and understood the contents of the Scheme Information Document and Statement of Additional Information and subsequent amendments thereto including the section on who cannot invest, "Prevention of Money Laundering" and "Know Your Customer", I/We hereby apply to Quantum Mutual fund for units of the Scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the Scheme. I/We further declare, I am / we are authorised to invest the amount & that the amount invested by me/us in the above mentioned Scheme(s) is derived through legitimate sources and is not held or designed for the purpose of contravention of any acts, rules, regulations or any statute or legislation or any other applicable laws or notifications, directions issued by the governmental or statutory authority from time to time. It is expressly understood that I/We have the express authority from our constitutional documents to invest in the units of the Scheme(s) and the AMC/Trustee/Fund would not be responsible if the investment is ultra vires thereto and the investment is contrary to the relevant constitutional documents.

I hereby give my consent to receive various Communications, emails, SMS, alerts and notifications statutory or otherwise including of products of Quantum Mutual Fund and also to receive call from Quantum AMC related to products and transactions in Quantum Mutual Fund even though my mobile number is registered under the National Do Not Call Registry (NDNC). Please read our complete private policy here <https://www.quantumamc.com/privacy-policy>.

Applicable to NRI only: I/We confirm that I am / we are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through approved banking channels from funds in my/our Non-Resident External/Ordinary Account/FCNR Account. Please (ü) (Including amount of Additional Purchase Transaction made in future)

Signature(s)

Date 

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

Place \_\_\_\_\_

 Sole/1st Applicant/Guardian/ Authorised Signatory	 2nd Applicant / Authorised Signatory	 3rd Applicant / Authorised Signatory
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# SIP REGISTRATION along with Top-Up Form



Quantum Mutual Fund - 1st floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay  
Reclamation, Churchgate, Mumbai - 400 020 | www.QuantumAMC.com

Name & ARN Code	Sub - Broker Code	Employee Unique Identification No. (EUIIN)	RIA Code/EOP Code	E-Code / RM Code
ARN -	ARN -	E		

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

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

**1. Investor And Investment Details** PAN  Folio No. (For Existing Investor)   
Sole/First Investor Name  (as appearing in ID proof)

**2. SIP Details**  New Mandate along with SIP form (Fill point no. 4) Existing SIP Registration Mode  OTM  K-OTM OTM Reference No.  (if Multiple **One Time Mandate** are registered)

Scheme/Plan/Option	Frequency/SIP Date (DD)	Enrollment Period (MMYY)	SIP Amount	TOP-UP Facility
				Frequency
	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="text"/> <input type="text"/>	From <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> To <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	₹ In Figures <input type="text"/> In Words <input type="text"/>	<input type="checkbox"/> Half Yearly / <input type="checkbox"/> Yearly TOP-UP SIP Amount <input type="text"/> CAP Period <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> or TOP-UP CAP Amount <input type="text"/>
	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="text"/> <input type="text"/>	From <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> To <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	₹ In Figures <input type="text"/> In Words <input type="text"/>	<input type="checkbox"/> Half Yearly / <input type="checkbox"/> Yearly TOP-UP SIP Amount <input type="text"/> CAP Period <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> or TOP-UP CAP Amount <input type="text"/>
	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="text"/> <input type="text"/>	From <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> To <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	₹ In Figures <input type="text"/> In Words <input type="text"/>	<input type="checkbox"/> Half Yearly / <input type="checkbox"/> Yearly TOP-UP SIP Amount <input type="text"/> CAP Period <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> or TOP-UP CAP Amount <input type="text"/>

SIP initial payment details (Optional)

Drawn on bank / branch name  Amount   
Mode  Cheque/DD  Dated

In case of multiple SIP, mention "Quantum Mutual Fund - Collection Account" on the payment instrument.

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

Place  Date

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

## 4. One Time Mandate Form

UMRN:  (Office use only) Date:

Utility Code:  (Office use only) Create:  Modify:  Cancel:

Sponsor Bank Code:  (Office use only) I/We authorize: **QUANTUM MUTUAL FUND**

To debit (Tick )  SB/  CA/  CC/  SB-NRE /  SB-NRO/  Other Bank A/C number:

With Bank:  (in words) IFSC/ MICR:

an amount of Rupees  (in words) ₹

Debit Type:  Fixed Amount  Maximum Amount Frequency:  Mthly  Qtrly  H-yrly  Yrly  As & when presented

Reference 1:  Phone No.

Reference 2:  Email ID

**Period**  
From

To

Maximum validity for this mandate is 40 years

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

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

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

# SYSTEMATIC INVESTMENT FORM

## TERMS & CONDITIONS



Quantum Mutual Fund - 1st floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400 020 | [www.QuantumAMC.com](http://www.QuantumAMC.com)

### Systematic Investment Plan (SIP)

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

1. This SIP facility is offered to investors having bank accounts in select banks mentioned in the link <http://www.npci.org.in/>. The banks in the list may be modified /updated /changed/removed at any time in future entirely at the discretion of National Payments Corporation of India without assigning any reasons or prior notice. Standing instructions for investors in such Banks will be discontinued. We will inform on such discontinuation.
2. Investor/Unitholder(s) should submit original Cancelled Cheque (or a copy) along with mandate form with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted.
3. The Unitholder(s) cheque/bank account details are subject to third party verification.
4. SIP is offered on daily, weekly, fortnight, monthly and quarterly frequency.
5. Investor/ Unit holders can opt to invest on any day in daily frequency any week in weekly and fortnight frequency (for fortnight alternative week transaction will be processed example If investor selected as Monday the SIP will be processed alternative Monday) and any day in monthly and quarterly frequency.
6. In case the end date is not specified, the SIP will be registered for **40 years**.
7. Minimum installments and frequency wise minimum amount can be referred below table.

Systematic Investment Plan (SIP)			
Frequency of SIP	Eligible dates for effect	Minimum amount per Instalment	Minimum term/duration applicable
Daily	All Business days	₹100 and in multiple of ₹1 thereafter (for ELSS minimum ₹500 and multiple of ₹500)	30 Business days
Weekly	Any day of the week	₹500 and in multiple of ₹1 thereafter (for ELSS multiple of ₹500)	10 instalments
Fortnightly	Any day of alternative Week	₹500 and in multiple of ₹1 thereafter (for ELSS multiple of ₹500)	10 instalments
Monthly	Any date (except 29, 30, 31st)	₹250 and in multiple of ₹1 thereafter (for ELSS multiple of ₹500) ₹250 and in multiple of ₹1 thereafter (for Quantum Value Fund, Quantum Multi Asset Allocation Fund, Quantum Gold Savings Fund, Quantum Equity Fund of Funds, Quantum Nifty 50 ETF Fund of Fund, Quantum Multi Asset Fund of Funds)	12 instalments
Quarterly	Any date (except 29, 30, 31st)	₹500 and in multiple of ₹1 thereafter (for ELSS multiple of ₹500)	12 instalments

8. In case the frequency is not specified / ambiguity, in the application/enrolment form, it will be deemed as an application for monthly frequency and will be processed accordingly. In case the SIP date is not specified or in case of ambiguity for monthly or quarterly frequency, the SIP transaction will be processed as of 10th of every month/first month of every quarter default day for weekly/ fortnight will be Tuesday.
9. The units will be allotted to the investor at applicable NAV of the respective business day on which the investment is sought to be made as per the applicable cut-off timing subject to the funds available for utilization.
10. The request for enrollment of SIP in the prescribed form should be received at any official point of acceptance / Investor service center at least 21 Calendar Days in advance before the execution / commencement date.
11. The request for discontinuation of SIP in the prescribed form should be received at any official point of acceptance / Investor Service Center at least 10 Calendar days in advance before the execution / commencement date.
12. SIP enrolment automatically terminated in below scenario:
  - a. Two for quarterly frequency and three for other than quarterly frequency consecutive payment instructions on submitted by Unit holder is not honored by banker.
  - b. Upon receipt of intimation of death of the Unit holder/ 1st Unit holder.
  - c. As a result of a stop payment instruction issued by the investor/unitholder.
  - d. Bank account closed by investor.
13. Quantum Mutual Fund will not be liable for any transaction failures due to rejection by the investor's bank/branch.
14. The investor agrees to abide by the terms and conditions of NACH facility of NPCI.
15. Investor will not hold Quantum Mutual Fund and its service providers responsible if the transaction is delayed or not effected by the Investor's Bank or if debited in advance or after the specific date due to various reasons or for any bank charges debited by his banker in his account towards NACH Registration/Cancellation/Rejections.
16. Investors are required to ensure adequate funds in their bank account on opted date. Quantum Mutual Fund will endeavor to debit the investor bank account on opted date, however if there is any delay all such transactions are debited subsequently. Quantum Mutual Fund/Sponsor Bank/NPCI are not liable for the bank charges, if any debited from investor's bank account by the destination bank, on account of payment through NACH.
17. If any chosen day/date falls on a non-business day, the next business day/date will be considered as the transaction date.
18. In case of investments in the name of a minor, no new transactions / standing instructions / SIP / STP / SWP or cancellation of such requests will be allowed by the guardian from the date of minor attaining majority till instruction from the major is received by the AMC/Mutual Fund along with the prescribed documents for change of account status from minor to major.

### 19. SIP Top-Up

It is a facility wherein an investor who is enrolling for SIP has an option to increase the amount of the SIP instalment by a fixed amount at predefined intervals. Thus, an investor can progressively start increasing the amount invested, allowing him/her to gradually increase the investment corpus in a hassle-free manner. The silent features of the said facility are as follows:

- SIP Top-Up facility is available in Monthly and Quarterly frequency only.
- Investor can Top-Up the SIP amount in fixed intervals with minimum amount of Rs. 100/- in multiple of Re.1/- For Quantum ELSS Tax Saver Fund, Top-Up minimum amount is Rs. 500/- in multiples of Rs. 500/- only.
- At present, SIP Top-Up facility is applicable to an Investor who is enrolling for a new SIP.
- The investor can choose a frequency for the Top-Up depending on the SIP frequency being opted. In case of a Monthly SIP, the investor can choose either a 'Half-yearly' or 'Yearly based Top-Up frequency; in case of a Quarterly SIP, the Top-Up is available in 'Yearly' frequency only. In case SIP Top-Up frequency is not mentioned, the default frequency will be considered as 'Yearly' for both Monthly and Quarterly SIP.
- Investor shall have flexibility to choose either Top-Up Cap on **Amount or Period** (month-year). In case of multiple selection, Top-Up Cap Amount will be considered as default selection.  
**Cap Amount:** Investor opts to freeze the SIP Top-Up amount on reaching the Cap Amount limit. Once it reaches the limit, the same amount will be considered as the SIP instalment amount until the end of the SIP tenure. The Cap Amount should be same as the maximum amount mentioned by the investor in the debit mandate. In case there is a difference between the Cap Amount & the maximum amount mentioned on debit mandate, amount which is lower of the two amounts shall be considered as the default amount of SIP Cap amount.  
**Cap Period:** Investor opts to freeze the SIP Top-Up tenure on reaching the Cap Period limit. Once it reaches the said period, the SIP Top-Up will be stopped, and SIP amount will be considered as the SIP instalment amount until the end of SIP tenure. The Cap Period should be same as the end period mentioned by the investor in the debit mandate. In case there is a difference between the Cap Period & the maximum period mentioned on debit mandate, end date will be the earlier of the two dates.
- In case Top-Up Cap Amount or Period is not selected, then default amount of Rs. 10 Lakhs will be considered as Cap Amount. Under the said facility, SIP amount will remain constant from Top - Up Cap date/ amount till the end of SIP Tenure.
- The Top-Up details cannot be modified once enrolled. In order to make any changes, the investor must cancel the existing SIP and enrol for a fresh SIP with Top-Up option.
- For further details and Forms, investors are requested to refer our website ([www.QuantumAMC.com](http://www.QuantumAMC.com)) or visit nearest collection centre of our Registrar viz. KFin Technologies Limited

# SYSTEMATIC TRANSFER PLAN (STP) AND SYSTEMATIC WITHDRAWAL PLAN (SWP)



Quantum Mutual Fund - 1st floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400 020 | www.QuantumAMC.com

Distributor ARN	Sub Distributor ARN	Internal sub Code/SOI ID	Employee Code	Employee Unique Identification No. (EUIIN)	Serial No./Date, Time & Stamp
ARN -	ARN -			E	

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

**EUIIN Declaration:** I/We hereby confirm that the EUIIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

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

**1. Investor and Investment details** PAN  Folio No. (For Existing Investor)

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

## 2. Systematic Transfer Plan (STP)

Source Scheme: \_\_\_\_\_ Plan: \_\_\_\_\_ Option: \_\_\_\_\_

## 3. Target Scheme (Please ✓ Choice of Scheme/Option/Facility) Please write appropriate scheme name as well as the Plan/Option/Sub Option.

Sr. No.	Target Scheme	Plan	Option	STP Amount (₹)	Frequency Details (Select any one frequency)
1.		<input type="checkbox"/> Direct <input type="checkbox"/> Regular	<input type="checkbox"/> Growth <input type="checkbox"/> IDCW (Payout) <input type="checkbox"/> IDCW (Reinvestment) #IDCW frequency _____		<input type="checkbox"/> Daily <input type="checkbox"/> Weekly _____ (Any Day - Monday to Friday) <input type="checkbox"/> Fortnightly _____ (Any day of alternative Week) <input type="checkbox"/> Monthly <input type="text"/> <input type="text"/> <input type="checkbox"/> Quarterly <input type="text"/> <input type="text"/>
2.		<input type="checkbox"/> Direct <input type="checkbox"/> Regular	<input type="checkbox"/> Growth <input type="checkbox"/> IDCW (Payout) <input type="checkbox"/> IDCW (Reinvestment) #IDCW frequency _____		<input type="checkbox"/> Daily <input type="checkbox"/> Weekly _____ (Any Day - Monday to Friday) <input type="checkbox"/> Fortnightly _____ (Any day of alternative Week) <input type="checkbox"/> Monthly <input type="text"/> <input type="text"/> <input type="checkbox"/> Quarterly <input type="text"/> <input type="text"/>
3.		<input type="checkbox"/> Direct <input type="checkbox"/> Regular	<input type="checkbox"/> Growth <input type="checkbox"/> IDCW (Payout) <input type="checkbox"/> IDCW (Reinvestment) #IDCW frequency _____		<input type="checkbox"/> Daily <input type="checkbox"/> Weekly _____ (Any Day - Monday to Friday) <input type="checkbox"/> Fortnightly _____ (Any day of alternative Week) <input type="checkbox"/> Monthly <input type="text"/> <input type="text"/> <input type="checkbox"/> Quarterly <input type="text"/> <input type="text"/>

\*Applicable only Quantum Liquid Fund and Quantum Dynamic Bond Fund.

## 4. STP Period

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

## 5. Systematic Withdrawal Plan (SWP)

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

SWP Frequency Details (Please ✓)	<input type="checkbox"/> Weekly	<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly	SWP Period
Amount (₹): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/> <input type="text"/> <input type="text"/>	From DDMMYY To DDMMYY OR No. installments _____
	(Any Day - Monday to Friday)	(Any Day - Monday to Friday)			

## 6. Declaration

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

Sole/1st Applicant/Guardian/ Authorised Signatory	2nd Applicant / Authorised Signatory	3rd Applicant / Authorised Signatory
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## ACKNOWLEDGEMENT SLIP (To be filled in by the investor)

Quantum Mutual Fund - 1st Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400020. www.QuantumAMC.com

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

An application for STP/SWP under the Folio No.  Date

Collection Center's Stamp & Receipt Date and Time	
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# SYSTEMATIC TRANSACTION FORM

## TERMS & CONDITIONS



Quantum Mutual Fund - 1st floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400 020 | [www.QuantumAMC.com](http://www.QuantumAMC.com)

### Systematic Transfer Plan (STP)

STP facility is offered subject to following terms & conditions:

1. Minimum balance in the source (transferor) Scheme should be Rs.5,000/- at the time of enrolment for STP.
2. In case the Unitholder purchases additional units in the transferor scheme, the STP facility would be extended to such additional units also.
3. Units marked under lien or pledge in the source Scheme will not be eligible for STP.
4. In case the unit balance in the transferor scheme is lesser than amount specified by the Unitholders for STP, the AMC will transfer remaining unit balance to transferee scheme.
6. The facility will be automatically terminated if the units under the transferor scheme are pledged or upon receipt of intimation of death of the Unitholder.
7. Minimum installments and frequency wise details provided in below table:

Systematic Transfer Plan (STP)			
Frequency of SIP	Eligible dates for effect	Minimum amount per Instalment	Minimum term/duration applicable
Daily	All Business days	₹100 and in multiple of ₹1 thereafter (for ELSS ₹500 and multiple of ₹500).	30 Business days
Weekly	Any day of the week	₹500 and in multiple of ₹1 thereafter (for ELSS multiple of ₹500).	10 instalments
Fortnightly	Any day of alternative Week	₹500 and in multiple of ₹1 thereafter (for ELSS multiple of ₹500).	10 instalments
Monthly	Any date (except 29, 30, 31st)	₹500 and in multiple of ₹1 thereafter (for ELSS multiple of ₹500).	12 instalments
Quarterly	Any date (except 29, 30, 31st)	₹500 and in multiple of ₹1 thereafter (for ELSS multiple of ₹500).	12 instalments
<b>Minimum balance to start STP : ₹5000/-</b>			

8. In case the frequency is not specified, it will be considered as application for monthly frequency and will be processed accordingly. In case the STP date is not specified or in case of ambiguity, the STP transaction will be processed for weekly/fortnightly "Tuesday" and 10th of month/quarter. In case the end date is not specified, STP will continue till cancellation request received from the Unitholder or till unit balance become nil in the source scheme or expiry of the enrolment period whichever is earlier.
9. The application for start of STP should be submitted to Official Point(s) of Acceptance at least 5 business days before the date of commencement/start date of STP. Unitholder may change the amount/ frequency by giving written notice to any of the Official Point(s) of Acceptance at least 5 business days prior to next transfer/STP execution date.
10. Unitholder can discontinue STP facility at any time by sending a written notice to any of the Official Point(s) of Acceptance, at least 5 business days prior to next transfer/STP execution date.
11. If STP date is a Non-Business Day, then the next Business Day shall be the STP date and the same will be considered for the purpose of determining the applicability of NAV.

### Systematic Withdrawal Plan (SWP)

1. Minimum balance in the scheme should be Rs.5,000/- at the time of enrolment for SWP.
2. Minimum installments and frequency wise details provided in below table:

Systematic Withdrawal Plan (SWP)			
Frequency of SIP	Eligible dates for effect	Minimum amount per Instalment	Minimum term/duration applicable
Weekly	Any day of the week	₹500 and in multiple of ₹1 thereafter	10 instalments
Fortnightly	Any day of alternative Week	₹500 and in multiple of ₹1 thereafter	10 instalments
Monthly	Any date	₹500 and in multiple of ₹1 thereafter	10 instalments
Quarterly	Any date	₹500 and in multiple of ₹1 thereafter	10 instalments
<b>Minimum balance to start SWP : ₹5000/-</b>			

3. The facility will be automatically terminated if the units in the Scheme are pledged or upon receipt of intimation of death of the Unitholder.
4. The SWP will be subject to applicable Exit load if any.
5. The application for start of SWP should be submitted to Official Point(s) of Acceptance at least 5 business days before the date of commencement/start date of SWP.
6. Unitholder may change the amount/frequency by giving written notice to any of the Official Point(s) of Acceptance at least 5 business days prior to next SWP execution date.
7. Unitholder can discontinue SWP facility by sending a written notice to any of the Official Point(s) of Acceptance, at least 5 business days prior to next SWP execution date.
8. SWP will be terminated automatically in case of a Zero balance in the respective Scheme-Folio on the run-date or expiry of the enrolment period whichever is earlier.
9. In case the unit balance in the scheme is lesser than amount specified by the Unitholders for SWP, the AMC will redeem remaining unit balance in the scheme.





# FATCA CRS FORM

(for non Individual/legal entity)

1st Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400020 | www.QuantumAMC.com

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

**1. Is "Entity" a tax resident of any country other than India** Please ✓ the applicable tax resident declaration  
 Yes  No (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number <sup>6</sup>	Identification Type (TIN or Other, please specify)

<sup>6</sup>In case Tax Identification Number is not available, kindly provide its functional equivalent<sup>5</sup>.  
 In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.  
**In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here**

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

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

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

We are a financial institution <sup>3</sup> <input type="checkbox"/>	Global Intermediary Identification Number (GIIN) <input type="text"/>
<b>OR</b>	<i>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below.</i>
Direct reporting NFE <sup>4</sup> <input type="checkbox"/> <i>(please tick as appropriate)</i>	Name of sponsoring entity _____
GIIN not available <i>(please tick as applicable)</i>	<input type="checkbox"/> Applied for <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <sup>9</sup>
If the entity is a financial institution,	<input type="checkbox"/> Not obtained - Non-participating FI <input type="checkbox"/>

### PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company <input type="checkbox"/> No <i>(that is, a company whose shares are regularly traded on an established securities market)</i>	<input type="checkbox"/> Yes <i>(If yes, please specify any one stock exchange on which the stock is regularly traded)</i> Name of stock exchange <input type="text"/>
2.	Is the Entity a related entity of a publicly traded company <input type="checkbox"/> No <i>(a company whose shares are regularly traded on an established securities market)</i>	<input type="checkbox"/> Yes <i>(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</i> Name of listed company <input type="text"/> Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company <b>or</b> <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange <input type="text"/>
3.	Is the Entity an active <sup>1</sup> non-financial Entity (NEF) <input type="checkbox"/> No	<input type="checkbox"/> Yes Nature of Business <input type="text"/> Please specify the sub-category of Active NFE <input type="text"/> <i>(Mention code-refer 2c of Part D)</i>
4.	Is the Entity a passive <sup>2</sup> NFE <input type="checkbox"/> No	<input type="checkbox"/> Yes <i>(If yes, please fill UBO declaration in the next section.)</i> Nature of Business <input type="text"/>

<sup>1</sup>Refer 2 of Part D | <sup>2</sup>Refer 3(ii) of Part D | <sup>3</sup>Refer 1(i) of Part D | <sup>4</sup>Refer 3(vi) of Part D



**PART D FATCA Instructions & Definitions**

(Note: The Guidance Note/notification issued by the CBDT shall prevail in respect to interpretation of the terms specified in the form)

- 1 (i) **Financial Institution (FI)** - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.
  - (ii) **Depository institution:** is an entity that accepts deposits in the ordinary course of banking or similar business.
  - (iii) Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-
    - (i) The three financial years preceding the year in which determination is made; or
    - (ii) The period during which the entity has been in existence, whichever is less.
  - (iv) Investment entity is any entity:
    - (a) That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
      - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or Individual and collective portfolio management; or
      - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;
    - or**
    - (b) The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above. An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :
      - (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
      - (ii) The period during which the entity has been in existence.
- The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 04, 05 and 06 and 07- refer point 2c.)
- (v) Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.
  - (vi) FI not required to apply for GIIN: Refer Rule 114F(5) of Income Tax Rules, 1962 for the conditions to be satisfied as "non-reporting financial institution and Guidance issued by CBDT in this regard.

**A. Reasons why FI not required to apply for GIIN:**

Code	Sub-category
1.	Governmental Entity, International Organization, or Central Bank
2.	The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory
3.	Non-public fund of the armed forces, an employees state insurance fund, a gratuity fund or provident fund
4.	Entity is an Indian FI solely because it is an investment entity
5.	Qualified credit card issuer
6.	Investment Advisors, Investment Managers & Executing Brokers
7.	Exempt collective investment vehicle
8.	Trust
9.	Non- registering local banks
10.	FFI with only Low-Value Accounts
11.	Sponsored investment entity and controlled foreign corporation
12.	Sponsored, Closely Held Investment Vehicle

**2. Active Non-financial entity (NFE) - Foreign entity that is not a financial institution: (any one of the following): Refer Explanation (A) to 114F(6) of income Tax Reule, 1962 for details.**

Code	Sub-category
1.	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
2.	The stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity, the stock of which is regularly traded on an established securities market.
3.	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
4.	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
5.	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
6.	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
7.	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;

8.	<p>Any NFE that fulfills all of the following requirements:</p> <ul style="list-style-type: none"> <li>- It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>- It is exempt from income tax in India;</li> <li>- It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <ul style="list-style-type: none"> <li>(i) an Investor Protection Fund referred to in clause (23EA);</li> <li>(ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</li> <li>(iii) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;</li> </ul>
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### 3. Other definitions

#### (i) Related entity

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control for this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

#### (ii) Passive NFE The term passive NFE means

- (i) any non-financial entity which is not an active non-financial entity; or
- (ii) an investment entity defined in clause 1 (iv) (b) of these instructions
- (iii) a withholding foreign partnership or withholding foreign trust;

#### (iii) Passive income

The term passive income includes income by way of :

- (1) Dividends,
- (2) Interest,
- (3) Income equivalent to interest,
- (4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE
- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

#### (iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance Records) Rules, 2005.

In determining the beneficial owner, the procedure specified in the following circular as amended from time to time shall be applied, namely:-

- (i) DBOD, AML. BC. No.71/14.01.001/2012-13, issued on the 18th January, 2013 by the Reserve Bank of India, or
- (ii) CIR/MIRSD/2/2013, issued on the 24th January, 2013 by the Securities and Exchange Board of India, or
- (iii) IRDA/SOD/GDL/CIR/019/02/2013, issued on the 4th February, 2013 by the Insurance Regulatory and Development Authority.

In the case of trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar position;

#### (A) Controlling Person Type:

Code	Sub-category
1.	CP of legal person-ownership
2.	CP of legal person-other means
3.	CP of legal person-senior managing official
4.	CP of legal arrangement - trust-settlor
5.	CP of legal arrangement - trust-trustee
6.	CP of legal arrangement - trust-protector
7.	CP of legal arrangement - trust-beneficiary
8.	CP of legal arrangement - trust-other
9.	CP of legal arrangement - Other-settlor equivalent
10.	CP of legal arrangement - Other-trustee equivalent

11.	CP of legal arrangement - Other-protector equivalent
12.	CP of legal arrangement - Other-beneficiary equivalent
13.	CP of legal arrangement - Other-other equivalent
14.	Unknown

(v) Specified U.S. person - A U.S. person other than the following:

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (iii) the United States or any wholly owned agency or instrumentality thereof;
- (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701 (a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664©) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045©) of the U.S. Internal Revenue Code; or
- (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Direct reporting NFE

A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

(vii) Exemption code for U.S. persons (Refer 114F(9) of Income Tax Rules, 1962 for details).

Code	Sub-category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(C)(1)(I)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(I)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan



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

(Mandatory for Non-individual Investors)

## I: Investor details:

Investor Name

PAN\*

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

## II: Category

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

Name of the Stock Exchange where it is listed#.

Security ISIN#

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

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

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

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

Others [please specify]

## UBO / Controlling Person(s) details.

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

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

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

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

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

UBO / SMO KYC Complied?	<input type="checkbox"/> Yes / <input type="checkbox"/> No. If 'Yes,' please attach the KYC acknowledgement. If 'No,' complete the KYC and confirm the status	<input type="checkbox"/> Yes / <input type="checkbox"/> No. If 'Yes,' please attach the KYC acknowledgement. If No, complete the KYC and confirm the status.	<input type="checkbox"/> Yes / <input type="checkbox"/> No. If 'Yes,' please attach the KYC acknowledgement. If No, complete the KYC and confirm the status.
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# Mandatory column.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

\* Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and you may provide the same as and when solicited.

## Declaration

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

## Signature with relevant seal:

Authorized Signatory

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

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

Authorized Signatory

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

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

Authorized Signatory

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

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

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

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

## Instructions on Controlling Persons / Ultimate Beneficial Owner

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

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

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

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

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

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

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

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

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

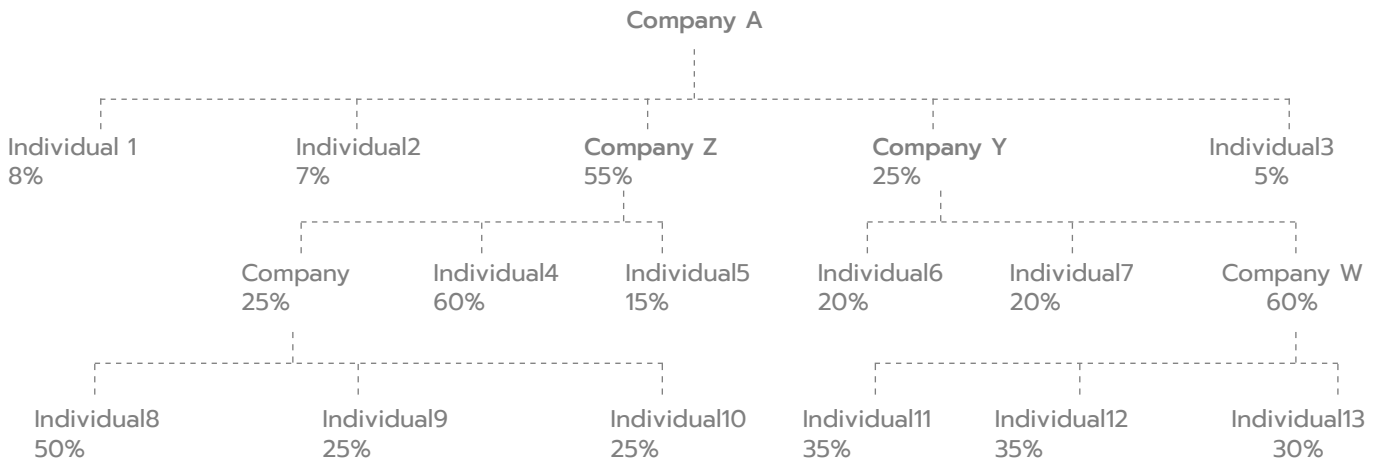
The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration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

### D. KYC requirements

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

**Sample Illustrations for ascertaining beneficial ownership:**

**Illustration No. 1 – Company A**



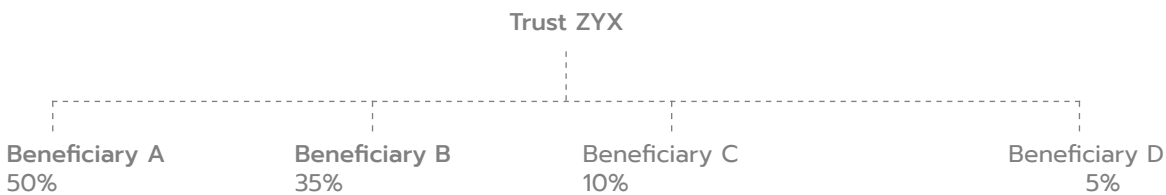
For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and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

**Illustration No. 2 – Partner ABC**



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

**Illustration No. 3 – Trustee ZYX**



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

INVESTOR SERVICE CENTERS/ OFFICIAL POINT OF ACCEPTANCE

Quantum Asset Management Company Pvt. Ltd. Mumbai: 1<sup>st</sup> Floor, Apeejay House, 3 Dinshaw Vachha Road, Backbay Reclamation, Churchgate, Mumbai - 400020

K-Fin Technologies Collection Centers

SL No	Branch Name	Address
1	Bangalore	KFIN Technologies Limited No 35 Puttanna Road Basavanagudi Bangalore 560004
2	Belgaum	KFIN Technologies Limited Premises No.101 Cts No.1893 Shree Guru Darshani Tower Anandwadi Hindwadi Belgaum 590011
3	Bellary	KFIN Technologies Limited Ground Floor 3rd Office Near Womens College Road Beside Amruth Diagnostic Shanthi Archade Bellary 583103
4	Davangere	KFIN Technologies Limited D No 162/6 1st Floor 3rd Main P J Extension Davangere Taluk Davangere Manda Davangere 577002
5	Gulbarga	KFIN Technologies Limited H No 2-231 Krishna Complex 2nd Floor Opp. Municipal Corporation Office Jagat Station Main Road Kalaburagi Gulbarga 585105
6	Hassan	KFIN Technologies Limited Sas No: 490 Hemadri Arcade 2nd Main Road Salgame Road Near Brahmins Boys Hostel Hassan 573201
7	Hubli	KFIN Technologies Limited R R Mahalaxmi Mansion Above Indusind Bank 2nd Floor Desai Cross Pinto Road Hubballi 580029
8	Mangalore	KFIN Technologies Limited Shop No - 305 Marian Paradise Plaza 3rd Floor Bunts Hostel Road Mangalore - 575003 Dakshina Kannada Karnataka
9	Margoa	KFIN Technologies Limited Shop No 21 Osa Mall 1st Floor Near Ktc Bus Stand Sgdpa Market Complex Margao - 403601
10	Mysore	KFIN Technologies Limited No 2924 2nd Floor 1st Main 5th Cross Saraswathi Puram Mysore 570009
11	Panjim	KFIN Technologies Limited H. No. T-9 T-10 Affran Plaza 3rd Floor Near Don Bosco High School Panjim 403001
12	Shimoga	KFIN Technologies Limited Jayarama Nilaya 2nd Cross Mission Compound Shimoga 577201
13	Ahmedabad	KFIN Technologies Limited 401,Abc-1, Opp: Pushya Hospital,Off: C.G.Road,St. Xavier'S Corner, Navrangpura, Ahmedabad-380009
14	Anand	KFIN Technologies Limited, 203 Saffron Icon, Opp Senior Citizen Garden, Mota Bazar, V V Nagar Anand-388120
15	Baroda	KFIN Technologies Limited 1st Floor 125 Kanha Capital, Above Hdfc Bank, Opposite. Express Hotel, Alkapuri, Vadodara-07,390007
16	Bharuch	KFIN Technologies Limited Shop No : 123, Nexus Business Hub,Near Dhiraj & Sons, Bharuch,392001
17	Bhavnagar	KFIN Technologies Limited, office no 207,skyline square building, near Sanskar mandal,waghawadi Road, Bhavnagar,364001
18	Gandhidham	KFIN Technologies Limited Off No-12 Plot No-300, Ground Floor, Shree Ambica Arcade Building, Near Hdfc Bank, Gandhidham, 370201
19	Gandhinagar	KFIN Technologies Limited Office No 138, First Floor, Suyas Solitaire,Near Podar International School,Kudasan, Gandhinagar,382421
20	Jamnagar	KFIN Technologies Limited 131, Madhav Plaza,Opp. Sbi Bank Jamnagar, 361001
21	Junagadh	KFIN Technologies Limited Shop No. 201 2nd Floor V-Arcade Complex Near Vanzari Chowk MG Road Junagadh 362001
22	Mehsana	KFIN Technologies Limited FF-21,Someswar Shopping Mall Modhera Road-Mehsana-384002
23	Nadiad	KFIN Technologies Limited 311-3rd Floor City Centre,Near Paras Circle,Nadiad-387001
24	Navsari	KFIN Technologies Limited 103 1st Floor Landmark Mall,Near Sayaji Vaibhav Library, Navsari,396445
25	Rajkot	KFIN Technologies Limited 406 Prism Square Building, Near Moti Tanki Chowk, Near Kathiyawadi Gymkhana, Opp RKC School Gate, Dr. Radhakrishnan Marg, Rajkot - 360001
26	Surat	KFIN Technologies Limited Ground Floor Empire State Building Near Udhna Darwaja Ring Road Surat, 395002
27	Valsad	KFIN Technologies Limited 406, 4th Floor, Dreamland Arcade,Tithal Road,Valsad, 396001
28	Vapi	KFIN Technologies Limited Sa/11/A Wing, 2nd Floor, Solitaire Business Centre,Opp Dcb Bank,Vapi Gidc Char Rasta,Vapi-396195
29	Chennai	KFIN Technologies Limited 9th Floor Capital Towers 180 Kodambakkam High Road Nungambakkam   Chennai - 600 034
30	Calicut	KFIN Technologies Limited Second Floor Manimuriyil Centre Bank Road Kasaba Village Calicut 673001
31	Cochin	KFIN Technologies Limited Door No61/2784 Second Floor Sreelakshmi Tower Chittoor Road, Ravipuram Ernakulam-Kerala-682015
32	Kannur	KFIN Technologies Limited 2nd Floor Global Village Bank Road Kannur 670001
33	Kollam	KFIN Technologies Limited Sree Vigneshwara Bhavan Shastri Junction Kollam - 691001
34	Kottayam	KFIN Technologies Limited 1st Floor Csiascension Square Railway Station Road Collectorate P O Kottayam 686002
35	Palghat	KFIN Technologies Limited No. 20 & 21 Metro Complex H.P.O.Road Palakkad H.P.O.Road Palakkad 678001
36	Tiruvalla	KFIN Technologies Limited 2nd Floorerinjery Complex Ramanachia Opp Axis Bank Tiruvalla 689107
37	Trichur	KFIN Technologies Limited 4th Floor Crown Tower Shakthan Nagar Opp. Head Post Office Thrissur 680001
38	Trivandrum	KFIN Technologies Limited, 3rd floor, No- 3B Tc-82/3417, Capitol Center, Opp Secretariat, Mg Road, Statue P O Trivandrum- 695001
39	Coimbatore	KFIN Technologies Limited 3rd Floor Jaya Enclave 1057 Avinashi Road - Coimbatore 641018
40	Erode	KFIN Technologies Limited Address No 38/1 Ground Floor Sathy Road (Vctv Main Road) Sorna Krishna Complex Erode 638003
41	Karur	KFIN Technologies Limited No 88/11 Bb Plaza Nmp Street K S Mess Back Side Karur 639002
42	Madurai	KFIN Technologies Limited No. G-16/17 Ar Plaza 1st Floor North Veli Street Madurai 625001
43	Nagercoil	KFIN Technologies Limited Hno 45 1st Floor East Car Street Nagercoil 629001
44	Pondicherry	KFIN Technologies Limited No 122(10B) Muthumariamman Koil Street - Pondicherry 605001
45	Salem	KFIN Technologies Limited No.6 Ns Complex. Omalur Main Road Salem 636009
46	Tirunelveli	KFIN Technologies Limited 55/18 Jeney Building 2nd Floor S N Road Near Aravind Eye Hospital Tirunelveli 620701
47	Trichy	KFIN Technologies Limited No 23C/1 E V R Road Near Vekkalammam Kalyana Mandapam Putthur-Trichy 620017
48	Tuticorin	KFIN Technologies Limited 4 - B A34 - A37 Mangalmani Nagar Opp. Rajaji Park Palayamkottai Road Tuticorin 628003
49	Vellore	KFIN Technologies Limited No 2/19 1st Floor Vellore City Centre Anna Salai Vellore 632001
50	Agartala	KFIN Technologies Limited Old Rms Chowmuhani,Opp-Rhymond Showroom,Near Jana Sabak Saloon,Agartala, West Tripura, 795001
51	Guwahati	KFIN Technologies Limited 4th Floor, Ganapati Enclave, G.S. Road, Near Bora Service, Guwahati 781007
52	Shillong	KFIN Technologies Limited Annex Mani Bhawan Lower Thana Road Near R K M Lp School Shillong 793001
53	Silchar	KFIN Technologies Limited Above RK Associates, 2nd Floor, NN Dutta Road, Near Gurudwara, Shillongpatt, Silchar 788001
54	Ananthapur	KFIN Technologies Limited #13/4 Vishnupriya Complex Beside Sbi Bank Near Tower Clock Ananthapur-515001
55	Guntur	KFIN Technologies Limited 2nd Shatter 1st Floor Hno. 6-14-48 14/2 Lane Arundal Pet Guntur 522002

56	Hyderabad	KFIN Technologies Limited, 2nd Floor Ibs Station, Lower Concourse 1, Situated In Jubilee Bus Metro Station, Secunderabad 500009
57	Karimnagar	KFIN Technologies Limited 2nd Shutterhno. 7-2-607 Sri Matha Complex Mankammahota-Karimnagar 505001
58	Kurnool	KFIN Technologies Limited Shop No.47 2nd Floor S Komda Shopping Mall Kurnool 518001
59	Nanded	KFIN Technologies Limited Shop No.4 Santakripa Market G G Road Opp.Bank Of India Nanded 431601
60	Rajahmundry	KFIN Technologies Limited, D.No: 6-7-7, Sri Venkata Satya Nilayam,1st Floor, Vadrevu Vari Veedhi, T - Nagar, Rajahmundry Ap- 533101
61	Solapur	KFIN Technologies Limited Shop No 106, Krishna Complex 477 Dakshin Kasaba Datta Chowk Solapur-413007
62	Srikakulam	KFIN Technologies Ltd, D No:1-6/2, First Floor, Near Vijaya Ganapathi Temple, Beside IK Rao Building, Palakonda Road, Srikakulam Dist Andhra Pradesh - 532001
63	Tirupathi	KFIN Technologies Limited Shop No:18-1-421/F1 City Center K.T.Road Airtel Backside Office Tirupathi - 517501
64	Vijayawada	KFIN Technologies Limited Hno26-23 1st Floor Sundarammstreet Gandhinagar Krishna Vijayawada 520010
65	Visakhapatnam	KFIN Technologies Limited Dno: 48-10-40 Ground Floor Surya Ratna Arcade Srinagar Opp Roadto Lalitha Jeweller Showroom Beside Taj Hotel Ladage Visakhapatnam 530016
66	Warangal	KFIN Technologies Limited Shop No.22 Ground Floor Warangal City Center 15-1-237 Mlugu Road Junction Warangal 506002
67	Khammam	KFIN Technologies Limited 11-4-3/3 Shop No. S-9 1st Floor Srivenkata Sairam Arcade Old Cpi Office Near Priyadarshini Collegenehru Nagar Khammam 507002
68	Hyderabad (Gachibowli)	KFIN Technologies Limited Selenium Plot No: 31 & 32 Tower B Survey No.115/22 115/24 115/25 Financial District Gachibowli Nanakramguda Serilingampally Mandal Hyderabad 500032
69	Akola	KFIN Technologies Limited Shop No 25 Ground Floor Yamuna Tarang Complex Murtzapur Road NH No- 6 Opp Radhakrishna Talkies Akola 444004 Maharashtra
70	Amaravathi	KFIN Technologies Limited Shop No. 21 2nd Floor Above Axis Bank Gulshan Tower Near Panchsheel Talkies Jaistambh Square Amaravathi 444601
71	Aurangabad	KFIN Technologies Limited Shop No B 38 Motiwala Trade Center Niral Bazar Aurangabad 431001
72	Bhopal	KFIN Technologies Limited 5f-13 Gurukripa Plaza 2nd Floor Plot No.48A Opposite City Hospital Zone-2 M P Nagar Bhopal 462011
73	Dhule	KFIN Technologies Limited Ground Floor Ideal Laundry Lane No 4 Khol Galli Near Muthoot Finance Opp Bhavasar General Store Dhule 424001
74	Indore	KFIN Technologies Limited 101  Diamond Trade Center   3-4 Diamond Colony   New Palasia   Above Khurana Bakery   Indore   M.P. 452001
75	Jabalpur	KFIN Technologies Limited 2nd Floor 290/1 (615-New) Near Bhavartal Garden Jabalpur - 482001
76	Jalgaon	KFIN Technologies Limited 3rd Floor 269 Jeez Plaza Balmir Peth Near Kishore Agencies Jalgaon 425001
77	Nagpur	KFIN Technologies Limited Plot No. 2 Block No. B / 1 & 2 Shree Apratment Khare Town Mata Mandir Road Dharampeth Nagpur 440010
78	Nashik	KFIN Technologies Limited 5-9 Second Floor Suyejit Sankul Sharanpur Road Nasik 422002
79	Sagar	KFIN Technologies Limited 2nd Floor/Above Shiva Kanchi Mandir 5 Civil Lines Sagar Madhya Pradesh -470001   India
80	Ujjain	KFIN Technologies Limited 227, 2nd Floor Heritage Plaza,Above Vishal Megha Mart, Near Hotel Kshipra, Ujjain M.P. - 456010
81	Asansol	KFIN Technologies Limited 112/N G. T. Road Bhangra Pachil G T Road Asansol Pin: 713 303; Paschim Bardhaman West Bengal Asansol 713303
82	Balasure	KFIN Technologies Limited 1-B 1st Floor Kalinga Hotel Lane Baleshwar Baleshwar Sadar Balasure 756001
83	Bankura	KFIN Technologies Limited Plot Nos- 80/1/Anatunchati Mahalla 3rd Floor Ward No-24 Opposite P.C Chandra Bankura Town Bankura 722101
84	Berhampur (Or)	KFIN Technologies Limited Opp Divya Nandan Kalyan Mandap 3rd Lane Dharam Nagar Near Lohiya Motor Berhampur (Or) 760001
85	Bhilai	KFIN Technologies Limited Office No.2 1st Floor Plot No. 9/6 Nehru Nagar [East] Bhilai 490020
86	Bhubaneswar	KFIN Technologies Limited A/181 Back Side Of Shivam Honda Show Room Saheed Nagar-Bhubaneswar 751007
87	Bilaspur	KFIN Technologies Limited Shop No.306 3rd Floor Anandam Plaza Vyapar Vihar Main Road Bilaspur 495001
88	Bokaro	KFIN Technologies Limited City Centre Plot No. He-07 Sector-Iv Bokaro Steel City Bokaro 827004
89	Burdwan	KFIN Technologies Limited Saluja Complex; 846 Laxmipur G T Road Burdwan; P: Burdwan & Dist: Burdwan-East Pin: 713101
90	Chinsura	KFIN Technologies Limited No : 96 Po: Chinsurah Doctors Lane Chinsurah 712101
91	Cuttack	KFIN Technologies Limited Shop No-45 2nd Floor Netaji Subas Bose Arcade (Big Bazar Building) Adjusent To Reliance Trends Daroga Bazar Cuttack- 753001
92	Dhanbad	KFIN Technologies Limited 208 New Market 2nd Floor Bank More - Dhanbad 826001
93	Durgapur	KFIN Technologies Limited Mw-16 Bengal Ambuja 2nd Floor City Centre Distt. Burdwan Durgapur-16 Durgapur 713216
94	Gaya	KFIN Technologies Limited Property No. 71045129 Ground Floorhotel Skylark Swaipur Road - Gaya 823001
95	Jalpaiguri	KFIN Technologies Limited D B C Road Opp Niral Hotel Opp Niral Hotel Opp Niral Hotel Jalpaiguri 735101
96	Jamshedpur	KFIN Technologies Limited Madhukunj 3rd Floor Q Road Sakchi Bistapur East Singhbhnm Jamshedpur 831001
97	Kharagpur	KFIN Technologies Limited Holding No 254/220 Sbi Building Malancha Road Ward No.16 Po: Kharagpur Ps: Kharagpur Dist: Paschim Medinipur Kharagpur 721304
98	Kolkata	KFIN Technologies Limited 2/1 Russel Street 4th floor Kankaria Centre Kolkata 700071 Wb
99	Malda	KFIN Technologies Limited Ram Krishna Pally; Ground Floor English Bazar - Malda 732101
100	Patna	KFIN Technologies Limited, Flat No - 102, 2Bhk, Maa Bhawani Shardalay, Exhibition Road, Patna-800001
101	Raipur	KFIN Technologies Limited, Office No- 401, 4th Floor, Pithalla Plaza, Fafadhi Chowk, Raipur -492001
102	Ranchi	KFIN Technologies Limited Room No 103, 1st Floor, Commerce Tower,Beside Mahabir Tower,Main Road, Ranchi-834001
103	Rourkela	KFIN Technologies Limited 2nd Floor Main Road Uditi Nagar Sundargarh Rourkela 769012
104	Sambalpur	KFIN Technologies Limited First Floor; Shop No. 219 Saheed Plaza Golebazar; Sambalpur Sambalpur 768001
105	Siliguri	KFIN Technologies Limited Nanak Complex 2nd Floor Sevoke Road - Siliguri 734001
106	Agra	KFIN Technologies Limited, 3rd Floor, 303 Corporate Park, Block No- 109, Sanjay Place, Agra -282002, Uttar Pradesh
107	Aligarh	KFIN Technologies Limited, 1st Floor Sevi Complex,Lekhraj Nagar Centre Point, Samad Road, Aligarh-202001, Uttar Pradesh
108	Prayagraj	KFIN Technologies Limited, Shop No- 11-9, 3rd Floor, Vinayak Vrindavan Tower, H No-34/26, Tashkhatt Road Civil Station, Prayagraj- 211001, Uttar Pradesh
109	Ambala	KFIN Technologies Limited 6349 2nd Floor Nicholson Road Adjacent Kos Hospitalambala Cant Ambala 133001
110	Azamgarh	KFIN Technologies Limited, Shop No 18 Nagar Palika, Infront Of Treasury Office, Civil Lines, Azamgarh-276001, Uttar Pradesh

111	Bareilly	KFin Technologies Limited,1st Floor, Rear Side, A - Square Building, 54-Civil Lines,Ayub Khan Chauraha,Bareilly-243001, Uttar Pradesh
112	Begusarai	KFin Technologies Limited, Sri Ram Market, Kali Asthan Chowk, Mathihani Road, Begusarai-851101, Bihar
113	Bhagalpur	KFin Technologies Limited, 2nd Floor Chandrakol Complex, Radha Rani Sinha Road, Ghantaghar, Bhagalpur-812001, Bihar
114	Darbhanga	KFin Technologies Limited H No-185, Ward No- 13, National Statistical Office Campus, Kathal Bari, Bhandar Chowk, Darbhanga-846007, Bihar
115	Dehradun	KFin Technologies Limited Shop No- 809/799, Street No- 2A, Rajender Nagar,Near Sheesha Lounge, Kaulagarh Road, Dehradun -248003, Uttarakhand
116	Deoria	KFin Technologies Limited, 1st Floor, K K Plaza, Above Apurwa Sweets, Civil Lines Road, Deoria- 274001, Uttar Pradesh
117	Faridabad	KFin Technologies Limited A-2B 2nd Floor Neelam Bata Road Peer Ki Mazar Nehru Groundnit Faridabad 121001
118	Ghaziabad	KFin Technologies Limited FF - 31 Konark Building Rajnagar - Ghaziabad 201001
119	Ghazipur	KFin Technologies Limited Rani Katra, Mahuabagh, Infront Of Shubhra Hotel, Ghazipur - 233001, Uttar Pradesh
120	Gonda	KFin Technologies Limited,782 Shiv Sadan, Iti Road, Near Raghukul Vidya Peeth, Civil Lines Gonda-271001 Uttar Pradesh
121	Gorakhpur	KFin Technologies Limited, Cross Road The Mall, Shop No 8-9, 4Th Floor, Bank Road, Gorakhpur 273001, Uttar Pradesh
122	Gurgaon	KFin Technologies Limited No. 212A 2nd Floor Vipul Agora M. G. Road - Gurgaon 122001
123	Gwalior	KFin Technologies Limited, T-303 3rd Floor, Vasundhara Tower, Near Axis Bank In Front Of Virendra Villa, Patel Nagar, City Centre, Gwalior-474011, Madhya Pradesh
124	Haldwani	KFin Technologies Limited,Shop No 5,Kmnv Shopping Complex, Haldwani 263139, Uttarakhand
125	Haridwar	KFin Technologies Limited,Shop No - 17,Bhatia Complex,Near Jamuna Palace,Haridwar 249410, Uttarakhand
126	Hissar	KFin Technologies Limited Shop No. 20 Ground Floor R D City Centre Railway Road Hissar 125001
127	Jhansi	KFin Technologies Limited, 1st Floor, Basera Arcade, Opp. Major Dhyanchand Stadium, BKT Chitra Road, Civil Lines, Jhansi 284001
128	Kanpur	KFin Technologies Limited,15/46 B Ground Floor,Opp : Muir Mills,Civil Lines,Kanpur 208001
129	Lucknow	KFin Technologies Limited, Office No 202, 2nd Floor, Bhalla Chambers, 5 Park Road, Hazratganj, Lucknow 226001
130	Mandi	KFin Technologies Limited House No. 99/11 3rd Floor Opposite Gss Boy School School Bazar Mandi 175001
131	Mathura	KFin Technologies Limited, Shop No. 9, Ground Floor, Vihari Lal Plaza,Opposite Brijwasi Centrum,Near New Bus Stand,Mathura 281001, Uttar Pradesh
132	Meerut	KFin Technologies Limited Shop No- 111 First Floor Shivam Plaza Near Canara Bank Opposite Eves Petrol Pump Meerut-250001 Uttar Pradesh India
133	Mirzapur	KFin Technologies Limited Triveni Campus, 2nd Floor, Ratanganj, Near Sbi Life, Mirzapur-231001, Uttar Pradesh
134	Moradabad	KFin Technologies Limited,Chadha Complex,G. M. D. Road,Near Tadi Khana Chowk,Moradabad-244001, Uttar Pradesh
135	Morena	KFin Technologies Limited, House No. Hig 959,Near Court,Front Of Dr. Lal Lab,Old Housing Board Colony,Morena 476001 Madhya Pradesh
136	Muzaffarpur	KFin Technologies Limited 1st Floor, Saroj Complex, Diwan Road, Muzaffarpur -842001, Bihar
137	Noida	KFin Technologies Limited F-21 2nd Floor Near Kalyan Jewellers Sector-18 Noida 201301
138	Panipat	KFin Technologies Limited Shop No. 20 1st Floor Bnk Market Behind Hive Hotel G.T.Road Panipat-132103 Haryana
139	Renukoot	KFin Technologies Limited C/O Mallick Medical Store, Bangali Katra Main Road,Renukoot Dist. Sonbhadra -231217, Uttar Pradesh
140	Rewa	KFin Technologies Limited, Shop No-2, Ground Floor, Shree Sai Anmol Complex, Opp Teerath Memorial Hospital, Rewa-486001, Madhya Pradesh
141	Rohtak	KFin Technologies Limited Office No- 61 First Floor Ashoka Plaza Delhi Road Rohtak 124001
142	Roorkee	KFin Technologies Limited, Near Shri Dwarkadhish Dharm Shala, Ramnagar, Roorkee-247667. Uttarakhand
143	Satna	KFin Technologies Limited, 1st Floor, Gopal Complex, Rewa Road,Near Bus Stand, Satna-485001, Madhya Pradesh
144	Shimla	KFin Technologies Limited 1st Floor Hills View Complex Near Tara Hall Shimla 171001
145	Shivpuri	KFin Technologies Limited, A. B. Road,In Front Of Sawarkar Park,Near Hotel Vanasthali,Shivpuri 473551, Madhya Pradesh
146	Sitapur	KFin Technologies Limited, 12/12 Surya Complex,Station Road,Uttar Pradesh,Sitapur 261001, Uttar Pradesh
147	Solan	KFin Technologies Limited Disha Complex 1st Floor Above Axis Bank Rajgarh Road Solan 173212
148	Sonepat	KFin Technologies Limited PP Tower, Shop No 207, 2nd Floor, Opposite Income Tax office, Subhash Chowk, Sonepat-131001
149	Sultanpur	KFin Technologies Limited 1st Floor, Shop No-90A, Ramashankar Market, Civil Lines, Near Bus Station, Sultanpur- 228001 Uttar Pradesh
150	Varanasi	KFin Technologies Limited D 64 / 127 C - H Arihant Complex, 2nd Floor,Sigra (Near Petrol Pump ) Varanasi (U P)-221010
151	Yamuna Nagar	KFin Technologies Limited B-V 185/A 2nd Floor Jagadri Road Near Dav Girls College (Uco Bank Building) Pyara Chowk - Yamuna Nagar 135001
152	Kolhapur	KFin Technologies Limited 605/1/4 E Ward Shahupuri 2nd Lane Laxmi Niwas Near Sultane Chambers Kolhapur 416001
153	Mumbai	KFin Technologies Limited 6/8 Ground Floor Crossley House Near Bse ( Bombay Stock Exchange)Next Union Bank Of India Fort Mumbai - 400 001
154	Pune	*KFin Technologies Limited Ayaan Chandrika, Office No. 14,15,16 Second Floor HNO 1315, FPL No. 701, Dadasaheb Torne Path, Off Jangli Maharaj Road, Shivaji Nagar Pune Maharashtra -411005*
155	Vashi	KFin Technologies Limited, Haware Infotech Park 902, 9Th Floor, Plot No 39/03, Sector 30A, Opp Inorbit Mall, Vashi Navi Mumbai 400703
156	Andheri	KFin Technologies Limited. Office 103, Vertex Navkar, Commercial Complex, M V Road, Opp Andheri Court, Andheri East, Mumbai 400069

157	Borivali	KFin Technologies Limited, Surbhi Apartment, Ground Floor Shop No 5-8, SVP Road, Opp HDFC Bank, Next to Jain Temple, Borivali West, Mumbai 400092
158	Thane	KFin Technologies Limited Room No. 302 3rd Floor Ganga Prasad Building Near Rbi Bank Ltd Ram Maruti Cross Road Naupada Thane West Thane - 400602
159	Ajmer	KFin Technologies Limited, C/o Dani Complex, Behind Chandak Eye Hospital, Agra Gate Circle, P R Marg, Ajmer - 305001
160	Alwar	KFin Technologies Limited Office Number 137 First Floor Jai Complex Road No-2 Alwar 301001
161	Amritsar	KFin Technologies Limited Sco 5 2nd Floor District Shopping Complex Ranjit Avenue Amritsar 143001
162	Bhatinda	KFin Technologies Limited Mcb -Z-3-01043 2 Floor Goniana Road Opposite Nippon India Mt Gf Road Near Hanuman Chowk Bhatinda 151001
163	Bhilwara	KFin Technologies Limited Office No. 14 B Prem Bhawan Pur Road Gandhi Nagar Near Canarabank Bhilwara 311001
164	Bikaner	KFin Technologies Limited H.No. 10, Himtasar House, Museum Circle, Civil Line, Bikaner, Rajasthan - 334001
165	Chandigarh	KFin Technologies Limited First Floor Sco 2469-70 Sec. 22-C - Chandigarh 160022
166	Ferozpur	KFin Technologies Limited The Mall Road Chawla Building 1st Floor Opp. Centrail Jail Near Hanuman Mandir Ferozpur 152002
167	Hoshiarpur	KFin Technologies Limited Unit #F-6 The Mall Complex 2nd Floor Opposite Kapila Hospital Sutheri Road Hoshiarpur 146001
168	Jaipur	KFin Technologies Limited Office No 101 1st Floor Okay Plus Tower Next To Kalyan Jewellers Government Hostel Circle Ajmer Road Jaipur 302001
169	Jalandhar	KFin Technologies Limited Office No 7 3rd Floor City Square Building E-H197 Civil Line Next To Kalyan Jewellers Jalandhar 144001
170	Jammu	KFin Technologies Limited 10/D Extension 2 Valmiki Chowk Gandhi Nagar Jammu 180004 State - J&K
171	Jodhpur	KFin Technologies Limited Shop No. 6 Gang Tower G Floor Opposite Arora Moter Service Centre Near Bombay Moter Circle Jodhpur 342003
172	Karnal	KFin Technologies Limited 3 Randhir Colony Near Doctor J.C.Bathla Hospital Karnal ( Haryana ) 132001
173	Kota	KFin Technologies Limited D-8 Shri Ram Complex Opposite Multi Purpose School Gumanpur Kota 324007
174	Ludhiana	KFin Technologies Limited Sco 122 Second Floor Above Hdfc Mutual Fun Feroze Gandhi Market Ludhiana 141001
175	Moga	KFin Technologies Limited 1st Floor,utt Road Mandir Wali Gali Civil Lines Barat Garh Moga 142001
176	New Delhi	KFin Technologies Limited 305 New Delhi House 27 Barakhamba Road - New Delhi 110001
177	Pathankot	KFin Technologies Limited 2nd Floor Sahni Arcade Complex Adj Indira Colony Gate Railway Road Pathankot 145001
178	Patiala	KFin Technologies Limited B- 17/423 Lower Mall Patiala Opp Modci College Patiala 147001
179	Sikar	KFin Technologies Limited First Floorsuper Tower Behind Ram Mandir Near Taparyia Bagichi - Sikar 332001
180	Sri Ganganagar	KFin Technologies Limited Address Shop No. 5 Opposite Bihani Petrol Pump Nh - 15 Near Baba Ramdev Mandir Sri Ganganagar 335001
181	Udaipur	KFin Technologies Limited Shop No. 202 2nd Floor Business Centre 1C Madhuvan Opp G P O Chetak Circle Udaipur 313001
182	Eluru	KFin Technologies Ltd D.No: 38-15-1/1, Vaibhav Fort, Agraharam, Western Street, Eluru Andhra Pradesh - 534001
183	chandrapur	KFin Technologies Limited C/O Global Financial Services,2nd Floor, Raghuvanshi Complex,Near Azad Garden, Chandrapur, Maharashtra-442401
184	Ghatkopar	KFin Technologies Limited 11/Platinum Mall, Jawahar Road, Ghatkopar (East), Mumbai 400077
185	Satara	KFin Technologies Limited G7, 465 A, Govind Park Satar Bazaar, Satara - 415001
186	Ahmednagar	KFin Technologies Limited, Above Shubham Mobile & Home Appliances, 1st Floor, Tilak Road, Maliwada Ahmednagar, Maharashtra 414001
187	Nellore	KFin Technologies Limited, H. No: 216/2/561, Ramarao Complex-2 3rd Floor, Shop No: 305, Nagula Mitta Road,(Indira Bhavan), Opp: Bank Of Baroda, Nellore Pin : 524001
188	Kalyan	KFin Technologies Limited Seasons Business Centre, 104 / 1st Floor, Shivaji Chowk, Opposite Kdmc (Kalyan Dombivli Mahanagar Corporation) Kalyan - 421301
189	Korba	KFin Technologies Limited, Office No #202, 2nd Floor, Ircr Qube, 97 T. P. Nagar, Korba-495677, Chhatisgarh
190	Ratlam	KFin Technologies Limited 106, Rajaswa Colony, Near Sailana Bus Stand, Ratlam, Madhya Pradesh 457001
191	Tinsukia	KFin Technologies Limited 3rd Floor, Somany Tiles Building Above Uti Mutual Fund, Chirwapatty Road, Tinsukia Assam - 786125
192	Saharanpur	KFin Technologies Limited, 1st Floor, Krishna Complex, Opp. Hathi Gate, Court Road, Saharanpur-247 001, Uttar Pradesh
193	Kalyani	KFin Technologies Limited Ground Floor,H No B-7/275, Kalyani, Kalyani Ho, Nadia, West Bengal - 741235
194	Hosur	KFin Technologies Limited No.2/3-4. Sri Venkateswara Layout, Denkanikottai Road, Dinnur Hosur - 635109
195	Malappuram	KFin Technologies Limited, MMB/1974, Peekeys Arcade, (ICICI Bank Building), Near Municipal bus stand, A K Road, Downhill, Malappuram, Kerala, 676519
196	Serampore	KFin Technologies Limited, Hinterland-II,GR.Floor, 6A Roy Ghat Lane, Serampore, Hooghly,West Bengal,712201
197	Alappuzha	KFin Technologies Limited, Sree Rajarajeswari Building,Ground Floor, Church Road, Mullackal Ward, Alappuzha, Kerala 688011
198	Palghar	KFin Technologies Limited,The Edge Ground Floor, Shop number 4, Bhausaheb Dandekar Marg, Behind Prakash Talkies, Palghar Maharashtra 401404
199	Sangli	KFin Technologies Limited,514/A, Gala No. 2/A, The Signature Building, Near Pudhari Bhavan, Sangli - 416416, Maharashtra
200	Cooch behar	KFin Technologies Limited Beside Muthoot Fincorp, Opposite Udichi Market, Nripendra Narayan Road, Post & District- Cooch Behar, West BengalPIN-735101

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